Description
The Water Quality Improvement Project (WQIP) program is a competitive, statewide reimbursement grant program open to local governments and not-for-profit corporations for implementation projects that directly address documented water quality impairments or protect a drinking water source. This grant program requires recipients to provide 15% of the award amount as a local share of the project for high priority Wastewater Treatment Improvement projects; 25% of the award amount as a local share of the project for Non-agricultural Nonpoint Source Abatement and Control, Land Acquisition for Source Water Protection, Salt Storage, Aquatic Habitat Restoration, and Municipal Separate Storm Sewer System projects; and 60% of the award amount as a local share of the project for General Wastewater Infrastructure Improvement projects.

Additional Resources
The RFA is available on the Department of Environmental Conservation’s (Department’s) website: http://www.dec.ny.gov/pubs/4774.html. Updates and/or modifications to the RFA, along with answers to questions received, will be posted on the Department’s website. Questions should be submitted to user.water@dec.ny.gov no later than July 10, 2017.

Pre-application workshops will be held around the State. The workshop schedule along with additional information is available at http://regionalcouncils.ny.gov/. All those who would like to have the application process explained or have process-related and/or grant-related questions are encouraged to attend.

Funding
The Department anticipates having up to $87 million available for WQIP projects, including up to $1 million available for projects to abate nitrogen loading in Long Island.

The Department may potentially receive additional funding for qualifying projects (e.g., wastewater treatment, nonpoint source abatement and control, aquatic habitat restoration) located in Nassau and Suffolk counties. Should such funding become available, the Department reserves the right to award funding for scored and ranked projects, consistent with the method of award described in this grant opportunity. In addition, the Department may potentially receive additional funding for qualifying beach restoration projects. Should such funding become available, the Department reserves the right to award funding for scored and ranked projects, consistent with the method of award described in this grant opportunity.

Eligible Types of Applicants
Generally, applicants meeting the following criteria are eligible for WQIP funds. There is some variability among eligible applicants for specific project types. Applicant eligibility
criteria is more clearly identified under each specific WQIP project type contained in this Request for Applications (RFA).

- Municipalities
- Municipal corporations
- Regulated traditional Municipal Separate Storm Sewer Systems (MS4s)
- Soil and water conservation districts
- Not-for-profit corporations, (Only land acquisition for source water protection projects OR aquatic habitat restoration projects)

The “Legal Name of Applicant” listed in the application must be the name of the entity that will enter into the contract if awarded. The Legal Name of Applicant field should not list an individual. Be sure to select the correct entity that is applying for the grant because the name cannot be switched in any way (i.e. change from the County to the County Office of Planning) after award.

Applicants who have demonstrated poor management of past WQIP contract(s) will not be funded in Round 14. Also applicants who have not previously been awarded a WQIP grant but whose Round 14 application does not demonstrate the experience and ability to carry out the project will not be funded in Round 14.

Projects must have secured at least some of the necessary approvals and be ready to proceed with project implementation to be funded.

Projects that include ineligible activities will be deemed ineligible. See individual project types for a list of ineligible activities for each project type.

All municipalities and soil and water conservation districts must register in the NYS Grants Gateway to be eligible for this grant (http://grantsreform.ny.gov).

All not-for-profits must register and prequalify in the NYS Grants Gateway by the due date of this application to be eligible for this grant (http://grantsreform.ny.gov).

Eligible Types of Projects

- Wastewater Treatment Improvement
- Non-agricultural Nonpoint Source Abatement and Control
- Land Acquisition Projects for Source Water Protection
- Salt Storage
- Aquatic Habitat Restoration
- Municipal Separate Storm Sewer Systems (MS4s)

Ineligible WQIP Projects

- Application proposals that do not address water quality impairment or protect a drinking water source
• Projects that provide no matching funds
• Projects that are seeking funding for planning or design only
• Projects that include ineligible activities as described in the project type descriptions
• For Aquatic Habitat Restoration projects, projects which do not provide any species miles and have a pre-existing condition of minor or less

Funding Priorities
Funding priorities are described in each individual WQIP project type description in this RFA.

DETAILED WQIP PROJECT TYPES AND DESCRIPTIONS ARE LISTED BELOW

Wastewater Treatment Improvement

Eligible Applicants
• Municipalities¹

Eligible Projects
• Wastewater Effluent Disinfection – Wastewater treatment projects (as defined in Environmental Conservation Law §56-0101) for facilities that currently do not disinfect their effluent to upgrade municipal systems to meet new wastewater treatment effluent disinfection requirements and increase wastewater treatment plant resiliency with the installation of backup power. Prior to submitting an application, eligible projects must have been notified by the Department that their treatment system requires an upgrade to add effluent disinfection. Municipalities with no current disinfection system will take precedence over repairs or upgrades to an existing system. Applicants will be required to submit an engineering report for the project with their application. Maximum grant available per facility is $1 million.
• Combined Sewer Overflow/Sanitary Sewer Overflow (CSO/SSO) – Projects to upgrade municipal systems to meet CSO or SSO discharge requirements. CSO projects under an approved Long Term Control Plan will be given highest priority. SSO projects for an SSO included in a capacity, management, operation and maintenance (CMOM) program, a sanitary sewer evaluation survey plan, identified as a Type 1 outfall in a SPDES permit, or listed in a consent order will be given highest priority. Applicants will be required to submit an engineering report.

¹ For the purposes of Wastewater Treatment Improvement projects under this grant opportunity, “Municipality” means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof.
report for the project with their application. Maximum grant available per municipality is $5 million.

- **TMDL Implementation** – Projects to purchase and install equipment necessary to meet Total Maximum Daily Load (TMDL) requirements, such as chemical addition and other techniques to remove phosphorous or nitrogen before the water is discharged from the plant. TMDL Implementation projects listed in a TMDL Implementation Plan, nine element watershed plan or SPDES permit will be given highest priority. Applicants will be required to submit an engineering report for the project with their application. Maximum grant available per facility is $1,000,000.

- **Communities with Inadequate On-Site Septic Systems**– Projects to construct systems to serve communities with inadequate on-site septic systems. Communities with Inadequate On-Site Septic Systems projects listed in the PWL as a source of impairment, having a completed sanitary survey conducted by the Department of Health, or listed in the Suffolk County Subwatersheds Wastewater Plan will be given highest priority. Applicants will be required to submit an engineering report for the project with their application. Maximum grant available per system is $5 million.

- **General wastewater infrastructure improvements - Wastewater treatment improvement projects** (as defined in Environmental Conservation Law §56-0101) to upgrade municipal systems to meet wastewater treatment discharge requirements. Applicants will be required to submit an engineering report for the project with their application. Maximum grant available per facility is $2.5 million.

### Priorities
The Department will assess the Wastewater Treatment Improvement applications based on the following:

- Highest priority will be given to projects addressing new effluent disinfection, CSO/SSO, TMDL Implementation or Communities with Inadequate On-Site Septic Systems.
- Secondary priority will be given to projects addressing general wastewater infrastructure improvements.

The Department will fund eligible high priority projects starting with the highest scoring projects. The Department reserves the right to award one project from each high priority category scoring 70 or above before awarding additional high priority wastewater projects. Once all the quality high priority projects have been funded, the Department will award funding to the general wastewater infrastructure improvement projects (secondary priority) starting with the highest scoring project.

### Performance Measures
The Department will assess the Wastewater Treatment Improvement projects based on the following:

- Highest priority will be given to:
Wastewater effluent disinfection projects for facilities that currently do not disinfect their effluent who have been notified by the Department that their treatment system requires an upgrade to add effluent disinfection.

- CSO projects that are under a Long Term Control Plan
- SSO projects that are for an SSO included in a capacity, management, operation and maintenance (CMOM) program, a sanitary sewer evaluation survey plan, identified as a Type 1 outfall in a SPDES permit, or listed in a consent order
- TMDL Implementation projects that are listed in a TMDL Implementation Plan, nine element watershed plan, or SPDES permit
- Communities with inadequate on-site septic systems projects that address a source of impairment listed in the PWL, a DOH Sanitary Survey, or in the Suffolk County Subwatersheds Wastewater Plan.

- Secondary priority will be given to:
  - Projects that are:
    - Located in the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "precluded" or "impaired".
    - Located in the HUC 12 watershed of waterbodies classified as Class A or Class AA with active public water systems where drinking water use has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet as "stressed" or "threatened".

- Tertiary priority will be given to:
  - Projects that are:
    - Located in the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as “stressed” or “threatened”
    - Located in the HUC 12 watershed of waterbodies classified as Class A or Class AA without an active public water system

**Scoring**

A scoring rubric can be found in the “Evaluation Process for All Project Types” section toward the end of this document.

**Grant/Match Fund Split**

Grant funds are available for up to:

- 85 percent of the project cost for Wastewater Effluent Disinfection, CSO/SSO, TMDL Implementation or Communities with Inadequate On-Site Septic Systems.
- 40 percent of the project cost for General Wastewater Infrastructure Improvements.

Applicants must provide match funds of at least 15/60 percent of the requested grant amount.
**Eligible Costs**
Eligible grant and match costs include salary, fringe, contractual, equipment costs, and construction inspection costs incurred by the awardee to implement the construction phase of the project such as general, electrical, plumbing, HVAC and mechanical. Costs must be incurred within the start and end date of the contract to be eligible. The start date of the contract can be no earlier than May 1, 2017.

**Ineligible Costs**
The following costs are NOT eligible for match or grant reimbursement:
- Engineering
- Design
- Construction oversight
- Non-construction costs incurred during the construction phase of the project.
- Indirect costs (e.g. travel, space/property rent, utilities, and other office supplies)
- Administrative costs
- Legal fees
- Costs incurred outside the start and end date of the contract

**Match Funds**
Only activities considered eligible for WQIP funding are eligible to be used as match funds. Match funds considered eligible for WQIP funding must be incurred within the start and end date of the contract. Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must identify the source of the matching funds.

**Contact**
NYS Department of Environmental Conservation
Division of Water, (518) 402-8179

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### Non-agricultural Nonpoint Source Abatement and Control

**Eligible Applicants**
- Municipalities
- Soil and water conservation districts

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2 For the purposes of Non-agricultural Nonpoint Source Abatement and Control projects under this grant opportunity, “Municipality” means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof.
Eligible Projects
Nonpoint Source Best Management Practices (BMPs)
Details on specific practices can be found in the following guidance documents.


Maximum grant available per project unless otherwise noted below is $1,000,000.

Additional Resources
For use in estimating pollutant load reductions, please see the calculator found at: http://www.dec.ny.gov/chemical/96777.html

For the most updated Priority Waterbodies List map and guidance on how to read the PWL data sheets, please visit the Department website at: http://www.dec.ny.gov/chemical/36730.html

A map of the hydrologic unit code (HUC 12) watersheds can be found at: http://www.arcgis.com/home/webmap/viewer.html?webmap=a1c786a4252e44848f4357e9534b3e74

Scoring
For the Non-agricultural Nonpoint Source category, the scoring for Vision is comprised of the Performance Measures score multiplied by the Impact Factor for the specific Priority Best Management Practice category. See each category for a more detailed description of the Impact Factor. A scoring rubric can be found in the “Evaluation Process for All Project Types” section toward the end of this document.

Non-Agricultural Nonpoint Source Priorities
- Decentralized Wastewater Treatment Facilities for Failing On-Site Treatment Systems
- Green Infrastructure Practice/Stormwater Retrofits
Great Lakes Nature-Based Shoreline Projects
Streambank Stabilization/Restoration and Riparian Buffers
In-Waterbody Controls for Nutrients
Beach Restoration
Other NPS Projects

**Decentralized Wastewater Treatment Facilities for Failing On-site Treatment Systems:**

**Summary:**
The construction of decentralized wastewater treatment facilities including the necessary collection and conveyance system. The decentralized wastewater treatment facility must consist of a subsurface treatment and disposal system designed in accordance with Department standards. Collection may take the form of either a septic tank effluent pump (STEP) or septic tank effluent gravity (STEG), grinder pump or gravity sewer system.

**Specific Requirements:**
Applicants must demonstrate that necessary approvals and agreements can be in place within 12 months of grant award to complete the process of sewer district formation.

**Performance Measures**
The Department will assess the Decentralized Wastewater Treatment Facilities for Failing On-Site Treatment Systems projects based on the following:

- Highest priority will be given to:
  - Project is specifically listed as a priority in:
    - Total Maximum Daily Load (TMDL) Implementation Plan;
    - Watershed Action Agenda;
    - Nine Element Watershed Plan;
    - Source Water Assessment Plan;
  - Projects that reduce nonpoint source pollutants (nutrients, or pathogens):
    - Located in the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "precluded" or "impaired".
    - Located in the HUC 12 watershed of waterbodies classified as Class A or Class AA with active public water systems where drinking water use has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet as "stressed" or "threatened".
- Secondary priority will be given to:
  - Projects is for a type of project that is the main focus of a:
    - TMDL Implementation Plan
    - Watershed Action Agenda
Nine Element Watershed Plan
Source Water Assessment Plan
- Projects that reduce nonpoint source pollutants (nutrients, or pathogens):
  - Located in the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as “stressed” or “threatened”
  - Located in the HUC 12 watershed of waterbodies classified as Class A or Class AA without an active public water system

Impact Factor Definitions:
4 points: will be given to projects that were identified in a TMDL, Nine Element Watershed Plan or Source Water Protection Plan as significant source of pollution; and the proposed project serves properties within 500 feet of the impaired waterbody;

3 points: will be given to projects where on-site septic was identified as a source of pollution on the Priority Waterbody List (PWL) segment datasheet; and the proposed project serves properties within 500 feet of the PWL segment;

2 points: will be given to projects that were identified in a TMDL, Nine Element Watershed Plan, Source Water Protection Plan, or PWL segment datasheet as a source of pollution; and the proposed project serves properties located on a tributary to the segment;

1 point: will be given to projects that were identified in a TMDL, Nine Element Watershed Plan, Source Water Protection Plan or PWL segment datasheet as a source of pollution; and the proposed project serves properties located within HUC 12 watershed.

Contact
New York State Department of Environmental Conservation
Division of Water, Ken Kosinski, (518) 402-8086

- Green Infrastructure Practices/Stormwater Retrofits

Summary
Green Infrastructure: Projects to address Combined Sewer Overflows (CSO) that are either under an approved Long Term Control Plan or are projects that the Department has determined are consistent and compatible with the requirements for an approved Long Term Control Plan will be given priority. DEC also encourages projects that address a regional water quality issue. Projects to address regional water quality issues must go above and beyond the water quality volume treatment and/or reduction requirements listed in the SPDES
Construction General Permit. All Green Infrastructure projects should include policies and procedures for maintaining the green infrastructure BMPs installed.

Stormwater Retrofits: Installation of stormwater retrofits designed to capture and remove the pollutant of concern (POC) causing a water quality impairment.

Specific Requirements:
Applicants applying for green infrastructure/stormwater retrofit projects must complete a feasibility study for the proposed project and submit the study with the electronic application. The feasibility study must include all of the Required Elements listed in the WQIP Required Green Infrastructure Documentation Guidance attached here as WQIP RFA Appendix A.

Performance Measures
The Department will assess the Green Infrastructure Practices/Stormwater Retrofits projects based on the following:

- **Highest priority will be given to:**
  - Project is specifically listed as a priority in:
    - Total Maximum Daily Load (TMDL) Implementation Plan;
    - Watershed Action Agenda;
    - SPDES Permit;
    - SPDES Permit Modification;
    - Nine Element Watershed Plan;
    - Long Term Control Plan;
    - Source Water Assessment Plan;
    - Beach restoration report funded by the Ocean and Great Lakes Program of the Environmental Protection Fund Beach Closure Mitigation Pilot Program
  - Projects that reduce nonpoint source pollutants (nutrients, silt/sediment, chloride/salts or pathogens):
    - Located in the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "precluded" or "impaired."
    - Located in the HUC 12 watershed of waterbodies classified as Class A or Class AA with active public water systems where drinking water use has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet as “stressed” or “threatened”.
  - Retrofits installed to achieve reduction in the Pollutant of Concern as required by the MS4 General Permit;

- **Secondary priority will be given to:**
  - Project is for a type of project that is the main focus of a:
    - TMDL Implementation Plan
    - Watershed Action Agenda
    - SPDES Permit
    - SPDES Permit Modification
- Nine Element Watershed Plan
- Long Term Control Plan
- Source Water Assessment Plan
- Beach restoration report funded independently
  - Projects that reduce nonpoint source pollutants (nutrients, silt/sediment, chloride/salts or pathogens):
    - Located in the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "stressed" or "threatened."
    - Located in the HUC 12 watershed of waterbodies classified as Class A or Class AA without an active public water system.

Impact Factor Definitions:
The impact factor will be scored based on the capacity of stormwater the practice can accommodate per water quality storm event. The breakdown of points will be as follows:

4 points: Total WQv treated or reduced – 7,500 ft³ or more
3 points: Total WQv treated or reduced – 5,000 to 7,499 ft³
2 points: Total WQv treated or reduced – 2,500 to 4,999 ft³
1 point: Total WQv treated or reduced – 0 to 2,499 ft³

Contact
New York State Department of Environmental Conservation
Division of Water, Ryan Waldron, (518) 402-8244

- Great Lakes Nature-Based Shoreline Projects:

Summary:
Up to $1.5 million is available for qualifying nature-based or “soft engineering” shoreline stabilization projects located along the open shorelines and embayments of Lake Erie, Lake Ontario, the St. Lawrence River and the Finger Lakes to reduce erosion, enhance coastal resilience and improve water quality and coastal habitat. Nature-based shoreline projects incorporate natural features and materials alone or in combination with structural components to manage erosion and stabilize shorelines, while enhancing aquatic habitat, natural coastal processes and access to the extent practicable or desired. Information on preferred, nature-based methods of shoreline stabilization is available at http://www.dec.ny.gov/permits/50534.html.

Specific Requirements:
Applicants applying for the Great Lakes nature-based shoreline project category must include any site assessments, permits, feasibility studies or other documentation that demonstrates the likelihood of project success and/or
feasibility. Such documentation should be submitted with the electronic application.

Performance Measures
The Department will assess the Great Lakes Nature-Based Shoreline projects based on the following:

- **Highest priority will be given to:**
  - Projects that demonstrate protection of infrastructure (such as roads, water treatment facilities, schools, and parks) vulnerable to impacts of coastal erosion and flooding
  - Project is specifically listed as a priority in:
    - Watershed Action Agenda;
  - Projects that reduce nonpoint source pollutants (nutrients, silt/sediment, chloride/salts or pathogens):
    - Located in the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "precluded" or "impaired."
    - Located in the HUC 12 watershed of waterbodies classified as Class A or Class AA with active public water systems where drinking water use has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet as "stressed" or “threatened”;
  - Retrofits installed to achieve reduction in the Pollutant of Concern as required by the MS4 General Permit;

- **Secondary priority will be given to:**
  - Project is for a type of project that is the main focus of a:
    - Watershed Action Agenda
  - Projects that reduce nonpoint source pollutants (nutrients, silt/sediment, chloride/salts or pathogens):
    - Located in the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "stressed" or "threatened."
    - Located in the HUC 12 watershed of waterbodies classified as Class A or Class AA without an active public water system.

- **Tertiary priority will be given to projects addressing a water quality impairment not listed on the PWL that has been reported and substantiated by a credible agency.**

**Impact Factor Definition:**

**4 points:** will be given to projects that demonstrate protection of infrastructure and the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “precluded” or “impaired”;

**3 points:** will be given to projects that demonstrate protection of infrastructure and the proposed project is located within the HUC 12 watershed of waterbodies.
identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “stressed” or “threatened”;

2 points: will be given to projects that either demonstrate protection of infrastructure OR the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “precluded” or “impaired”;

1 point: will be given to projects that do not demonstrate protection of infrastructure but the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “stressed” or “threatened”.

Contact
New York State Department of Environmental Conservation
Division of Water, Shannon Dougherty, (716) 851-7070

- Streambank Stabilization/Restoration and Riparian Buffers:

Summary:
  o Streambank Stabilization/Restoration: Projects to address sedimentation of waterbodies caused by erosion of streambanks. Streambank stabilization and restoration practices include but are not limited to staking, erosion control matting, root wads, and rip-rap. Guidance for such projects can be found at: http://www.dec.ny.gov/permits/67096.html. Bioengineered practices are preferred over hard structural practices. Streambank stabilization/restoration projects that are paired with replanting of riparian buffers are preferred.
  o Riparian Buffers: Projects to replant vegetation within the riparian zone of waterbodies to filter nutrients and sediment, prevent streambank erosion and reduce thermal impacts to streams. Guidance for such projects can be found at: http://www.dec.ny.gov/chemical/106345.html.

Specific Requirements:
Applicants applying for the Streambank Stabilization/Restoration and Riparian Buffer project category should include any site assessments, permits, feasibility studies or other documentation that demonstrates the likelihood of project success and/or feasibility. Such documentation should be submitted with the electronic application.

Performance Measures
The Department will assess the Streambank Stabilization/Restoration and Riparian Buffers projects based on the following:

- **Highest priority will be given to:**
  - Project is specifically listed as a priority in:
    - Total Maximum Daily Load (TMDL) Implementation Plan;
    - Watershed Action Agenda;
    - Nine Element Watershed Plan;
    - Source Water Assessment Plan;
  - Projects that reduce nonpoint source pollutants (nutrients or silt/sediment):
    - Located in the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "precluded" or "impaired."
    - Located in the HUC 12 watershed of waterbodies classified as Class A or Class AA with active public water systems where drinking water use has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet as “stressed” or “threatened”.

- **Secondary priority will be given to:**
  - Project that is for a type of project that is the main focus of a:
    - TMDL Implementation Plan
    - Watershed Action Agenda
    - Nine Element Watershed Plan
    - Source Water Assessment Plan
  - Projects that reduce nonpoint source pollutants (nutrients or silt/sediment):
    - Located in the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "stressed" or "threatened."
    - Located in the HUC 12 watershed of waterbodies classified as Class A or Class AA without an active public water system.

**Impact Factor Definitions:**

4 points: will be given to projects that restore riparian buffers that are located on the impaired segment OR streambank restoration projects that include riparian buffers located on the impaired segment

3 points: will be given to streambank restoration projects located on an impaired segment that do not include a riparian buffer

2 points: will be given to riparian buffer projects or streambank restoration projects located on a tributary to the impaired segment that do not include a riparian buffer
1 point: will be given to riparian buffer projects or streambank restoration projects located within the HUC 12 watershed of an impaired segment that do not include a riparian buffer.

Contact
New York State Department of Environmental Conservation
Division of Water, Lauren Townley, (518) 402-8283

- **In-Waterbody Controls for Nutrients:**

  **Summary:**
  Projects that reduce internal loading of nutrients (mainly phosphorus) within waterbodies. For waterbodies experiencing internal nutrient cycling leading to excessive algae and plant growth, low water clarity, and other water quality impairments. Eligible practices to address these issues include but are not limited to: hypolimnetic aeration, hypolimnetic withdrawal, and dredging. External sources of nutrients must be controlled or eliminated prior to submitting an application for in-waterbody control for nutrients or projects must be underway.

  **Specific Requirements:**
  Proposals for in-waterbody practices to control nutrients must:
  - Show that a plan has been completed or is underway for controlling external sources and that the plan is being implemented;
  - Provide a study, completed by a qualified professional, as demonstrated through work experience and/or education (e.g. certified lake manager, professional engineer, marine scientist or limnologist), that identifies significant internal waterbody loading and justification for the use of the BMP;
  - Provide a plan for long term operation and maintenance of the BMP, if applicable (Hypolimnetic Aeration and Withdrawal);
  - Applicants must secure appropriate permits prior to submitting application

  **Performance Measures**
  The Department will assess the In-Waterbody Controls for Nutrients projects based on the following:
  - Highest priority will be given to:
    - Project is specifically listed as a priority in:
      - Total Maximum Daily Load (TMDL) Implementation Plan;
      - Watershed Action Agenda;
      - Nine Element Watershed Plan;
      - Source Water Assessment Plan;
    - Projects that reduce nonpoint source pollutants (nutrients, silt/sediment):
• Located in the watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "precluded" or "impaired."
  o Located in the watershed of waterbodies classified as Class A or Class AA with active public water systems where drinking water use has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet as “stressed” or “threatened”.

• Secondary priority will be given to:
  o Project that is for a type of project that is the main focus of a:
    ▪ TMDL Implementation Plan
    ▪ Watershed Action Agenda
    ▪ Nine Element Watershed Plan
    ▪ Source Water Assessment Plan
  o Projects that reduce nonpoint source pollutants (nutrients, silt/sediment):
    ▪ Located in the watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "stressed" or "threatened."
    ▪ Located in the watershed of waterbodies classified as Class A or Class AA without an active public water system.

Impact Factor Definitions:

4 points: will be given to projects that combine two or more related best management practice and are included in a TMDL Implementation Plan, Watershed Action Agenda, Nine Element Watershed Plan, or Source Water Assessment Plan;

3 points: will be given to projects with one best management practice and are included in a TMDL Implementation Plan, Watershed Action Agenda, Nine Element Watershed Plan, or Source Water Assessment Plan;

2 points: will be given to projects that combine two or more best management practices to reduce/restore waterbody;

1 point: will be given to projects with one best management practice to reduce/restore.

Contact
New York State Department of Environmental Conservation
Division of Water, Lauren Townley, (518) 402-8283

• Beach Restoration:

Summary:
The Department may potentially receive additional funding for qualifying beach restoration projects. Should such funding become available, the Department reserves the right to award funding for scored and ranked projects, consistent with the method of award described in this grant opportunity. If such funding does not become available, the Department reserves the right to award funding for scored and ranked projects consistent with the method of award described in this grant opportunity, however there will be a $600,000 category cap. Projects to implement designs recommended in beach restoration green infrastructure design reports. Projects may include, but are not limited to, porous pavement, bioinfiltration/bioretention, rain gardens, stormwater tree trenches, greenways, beach re-naturalization, beach sand enrichment/nourishment, beach sloping/grading, constructed wetlands, or trumpeter swan or coyote decoys.

Special Requirements:
Projects must have a completed beach sanitary survey to be eligible. Applicants applying for the beach restoration project category should include topographic surveys, borehole/percolation test information, permits, construction designs, feasibility studies or other documentation that demonstrates the likelihood of project success and/or feasibility. Such documentation should be submitted with the electronic application.

Performance Measures
The Department will assess the Beach Restoration projects based on the following:
- Highest priority will be given to:
  - Project is specifically listed as a priority in:
    - Beach restoration report funded through Ocean and Great Lakes EPF pilot beach closure mitigation project
  - Projects that reduce nonpoint source pollutants (nutrients, silt/sediment, chloride/salts or pathogens):
    - Located in the watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "precluded" or "impaired."
    - Located in the watershed of waterbodies classified as Class A or Class AA with active public water systems where drinking water use has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet as "stressed" or "threatened."
  - Retrofits installed to achieve reduction in the Pollutant of Concern as required by the MS4 General Permit;
- Secondary priority will be given to:
  - Project that is for a type of project that is the main focus of a:
    - Beach restoration report funded independently
  - Projects that reduce nonpoint source pollutants (nutrients, silt/sediment, chloride/salts or pathogens):
- Located in the watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "stressed" or "threatened."
- Located in the watershed of waterbodies classified as Class A or Class AA without an active public water system.
- Projects based on beach sanitary surveys alone will receive the lowest priority.

Impact Factor definitions:

4 points: will be given to projects that combine two or more practices (e.g., porous pavement, rain gardens and bioswale) to reduce/restore waterbody (such that the water quality benefit is greater than any one practice alone); and the proposed project is located on the beach or within the beach/park property;

3 points: will be given to projects that combine two or more practices (e.g., porous pavement, rain garden and bioswale) to reduce/restore waterbody (such that the water quality benefit is greater than any one practice alone); and the proposed project is located on a tributary adjacent to the beach that has been identified as a source of pollution;

2 points: will be given to projects with one practice to reduce/restore waterbody; and the proposed project is on a tributary adjacent to the beach that has been identified as a source of pollution;

1 point: will be given to projects with one practice to reduce/restore waterbody; and the proposed project is located within the HUC 12 watershed.

Contact
New York State Department of Environmental Conservation
Division of Water, Karen Stainbrook, (518) 402-8095

- Other NPS Projects:
  
  Summary:
  All other nonpoint source projects that do not fall into the above best management practices will be considered under this section.

  Special Requirements:
  None

Performance Measures
The Department will assess the Non-agriculture Nonpoint Source applications projects based on the following:
- Highest priority will be given to:
Project is specifically listed as a priority in:

- Total Maximum Daily Load (TMDL) Implementation Plan;
- Watershed Action Agenda;
- SPDES Permit;
- SPDES Permit Modification;
- Nine Element Watershed Plan;
- Long Term Control Plan;
- Source Water Assessment Plan;
- Beach restoration report funded by the Ocean and Great Lakes Program of the Environmental Protection Fund Beach Closure Mitigation Pilot Program.

Projects that reduce nonpoint source pollutants (nutrients, silt/sediment, chloride/salts or pathogens):

- Located in the watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "precluded" or "impaired."
- Located in the watershed of waterbodies classified as Class A or Class AA with active public water systems where drinking water use has been identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet as “stressed” or “threatened”.

Retrofits installed to achieve reduction in the Pollutant of Concern as required by the MS4 General Permit;

- Secondary priority will be given to:
  - Project that is for a type of project that is the main focus of a:
    - TMDL Implementation Plan
    - Watershed Action Agenda
    - SPDES Permit
    - SPDES Permit Modification
    - Nine Element Watershed Plan
    - Long Term Control Plan
    - Source Water Assessment Plan
    - Beach restoration plan funded independently

Projects that reduce nonpoint source pollutants (nutrients, silt/sediment, chloride/salts or pathogens):

- Located in the watershed of waterbodies identified in the Waterbody Inventory/Priorities Waterbodies List (PWL) sheet with uses listed as "stressed" or "threatened."
- Located in the watershed of waterbodies classified as Class A or Class AA without an active public water system.

Impact Factor definitions:

Unless otherwise noted in the specific category, the following impact factors will be used in scoring of projects:
4 points: will be given to projects that combine two or more related best management practices (e.g., ditch maintenance, hydroseeding, and filter strip system; or installation of porous pavement, bioswale, rain gardens, and tree bowls as complete project) to reduce/restore waterbody (such that the water quality benefit is greater than any one practice alone) and the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “precluded” or “impaired”;

3 points: will be given to projects that combine two or more related best management practices (e.g., catch basin cleaning and street vacuuming programs) to reduce/restore waterbody (such that the water quality benefit is greater than any one practice alone) and the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “stressed” or “threatened”;

2 points: will be given to projects with one best management practice to reduce/restore waterbody and the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “precluded” or “impaired”;

1 point: will be given to projects with one best management practice to reduce/restore waterbody and the proposed project is located within the HUC 12 watershed of waterbodies identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses listed as “stressed” or “threatened”; or projects located in the watershed of waterbodies classified as Class A or Class AA that are identified in the Waterbody Inventory/Priority Waterbodies List (PWL) sheet with uses other than “precluded”, “impaired”, “stressed”, or “threatened”.

Contact
New York State Department of Environmental Conservation
Division of Water, Jacqueline Lendrum, (518) 402-8086

Additional Information for all Non-Agricultural Nonpoint Source Projects:

Land Owner Agreements
The applicant must own the property, or obtain an applicable access agreement, for the proposed project site.
  • If the property owner is a municipality – A resolution by the municipality supporting the project.
If the property is not owned by the applicant – a formal written agreement between the applicant and landowner which allows the applicant access to the property, and represent the landowner, to accomplish the proposed project.

Grant/Match Fund Split
Grant funds are available for up to 75 percent of the total project costs. Applicants must provide match funds of at least 25 percent of the requested grant amount.

Eligible Costs
Eligible grant and match costs include personal services (e.g. salary, fringe); and non-personal services (e.g. contractual services, travel, equipment operating expenses, etc.) incurred by the awardee to implement the project. The following categories of costs are considered eligible:
- Construction
- Construction inspection
- Planning and Design (cannot exceed 20% of award amount)

Costs must be incurred within the start and end date of the contract to be eligible. The start date of the contract can be no earlier than May 1, 2017.

Ineligible Costs
The following costs are NOT eligible for match or grant reimbursement:
- Projects with planning and design costs in excess of 20% of the award amount
- Construction oversight
- Land purchases
- Indirect costs (e.g. space/property rent, utilities, and other office supplies)
- Administrative costs
- Legal fees
- Costs incurred outside the start and end date of the contract
- Costs associated with grant application and/or its administration and securing applicable approvals, permits, easements, etc.

Match Funds
Only activities considered eligible for WQIP funding are eligible to be used as match funds. Match funds considered eligible for WQIP funding must be incurred within the start and end date of the contract. Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must identify the source of the matching funds.

Land Acquisition Projects for Source Water Protection

Eligible Applicants
Before starting an application, applicants interested in Land Acquisition Projects for Source Water Protection are strongly encouraged to investigate steps that must be taken and local approvals that are needed to start a project of this type (permits, easements, etc.). Applicants who have questions about what is needed for their project are encouraged to attend the CFA workshops offered statewide or to call or email WQIP staff.

Eligible Programs

- Protection of Surface Drinking Water Supplies - Applicants can apply for funding to purchase land or conservation easements adjacent to surface waters (streams, lakes, rivers, and reservoirs) permitted for public drinking water. Land acquisition projects must be paired with creation or restoration of vegetated riparian buffers and/or wetlands if the land does not already contain vegetated riparian buffers or wetlands. Riparian buffers and wetlands must meet the requirements listed below. Riparian buffer and wetland creation or restoration costs are eligible for funding.
- Protection of Groundwater Drinking Water Supplies – Applicants can apply for funding to purchase land or conservation easements adjacent to groundwater wellheads actively used for public drinking water.
- In-Waterbody Practices to Control Nutrients - For waterbodies experiencing internal nutrient cycling leading to excessive algae and plant growth, low water clarity, or other water quality impairments that impact source water quality for drinking water systems or necessitating enhanced drinking water treatment. Eligible practices include but are not limited to: hypolimnetic aeration, hypolimnetic withdrawal, and dredging. External sources of nutrients must be controlled or eliminated or a project must be underway prior to submitting an application for Reduction of In-Waterbody Nutrient Loading projects. Projects must include some land acquisition to be eligible.

Priorities

Highest priority will be given to:

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3 For the purposes of Land Acquisition Projects for Source Water Protection under this grant opportunity, “Municipality” means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof.

4 Environmental Conservation Law, Article 56-0101 (16), “Not-for-profit corporation” means a corporation formed pursuant to the not-for-profit corporation law and qualified for tax-exempt status under the federal internal revenue code.
• Programs that target protection and/or create or restore riparian buffers or wetlands directly adjacent to surface waterbodies permitted as a drinking water supply
• Programs that protect land within the “inner well zone” for a groundwater drinking water source identified in a Source Water Assessment Plan (SWAP) report or within 1,000 feet of a groundwater drinking water source if no SWAP has been developed.
• Parcels specifically identified or located in watersheds prioritized in the New York State Open Space Plan for drinking water protection.
• Projects that target disinfection by-product precursors in surface waterbodies serving as a public water supply

Secondary priority will be given to:
• Programs that protect and/or create or restore riparian buffers or wetlands adjacent to tributaries that directly drain, within 2,000 feet, into a surface waterbody permitted as an active drinking water supply source
• Programs that protect land within the “outer well zone” identified in a SWAP report for a permitted groundwater drinking water source or between 1,000 and 2,000 feet if no SWAP has been developed

Scoring
A scoring rubric can be found in the “Evaluation Process for All Project Types” section toward the end of this document.

Riparian Buffer Requirements
• Riparian buffers must be revegetated using only native trees, shrubs, or grasses appropriate for the site conditions
• Riparian buffers must have a minimum average width of 100 feet if they are adjacent to tributaries
• Riparian buffers must have a minimum average width of 300 feet if they are adjacent to reservoirs
• For newly created or restored buffers, the applicant must develop and implement a maintenance plan during the buffer establishment period, defined as 3-5 years after planting of vegetation. Guidance on designing and maintaining buffers can be found here: http://www.dec.ny.gov.chemical.106345.html.

Wetland Requirements
• Project plans must describe how the work in and near wetlands will protect drinking water supplies and provide improved wetland function.
• Work within or immediately adjacent to existing wetlands must be limited to activities that will improve wetland function. Disturbances that compromise ecological functions are ineligible for funding under this RFA.
• Projects cannot mitigate for impacts to regulated wetlands. Wetland mitigation projects are ineligible for funding under this RFA.
• The applicant must develop and implement a maintenance plan for any wetland creation or enhancement. The maintenance plan must include protocols for addressing problems for a minimum of 3 years following creation or enhancement.

Land Purchase and Conservation Easement Requirements
• Lands currently protected by a federal or state easement program are not eligible for funding under this RFA.
• Conservation easements must be acquired in perpetuity.
• If the grantee loses control of the property, control must be fully restored to the Grantor or the property must be replaced, within three years, with like property of equal value at current market prices and equal benefits.
• If the property is used for activities which interfere with the accomplishment of approved purposes, the violating activities must cease and any resulting adverse effects must be remedied.
• Disturbances that compromise the ecological condition of the riparian buffer area, including, but not limited to, livestock access to the riparian buffer, wood or timber harvesting, excessive mowing and recreational vehicular use must be prohibited.
• Applicants must describe in detail protocols for stewardship, monitoring and enforcement of properties or easements as part of their application for funding.
• Streambanks must be stable prior to creation or restoration of riparian buffers. “Soft” streambank stabilization practices including but not limited to, live staking, contour wattling, erosion control matting, and root wads, are eligible for funding as part of a buffer project under this category. Guidance for such projects can be found at: http://www.dec.ny.gov/permits/67096.html. Hard armoring of streambanks, including stone rip rap, is not eligible for funding under this category. Streambank stabilization costs cannot exceed 25% of the award amount.
• Selective cutting of trees, removal of invasive species, or supplemental planting of trees, shrubs, or grasses are allowed provided they improve habitat and function of the riparian buffer or remove, mitigate, or warn against unreasonable harm to people, property or health of native species on or around the defined riparian buffer area.

In-waterbody Practices to Control Nutrients Requirements
Proposals for in-waterbody practices to control nutrients must:
• Show that a plan has been completed or is underway for controlling external sources and that the plan is being implemented;
• Provide a study, completed by a qualified professional, as demonstrated through work experience and/or education (e.g. certified lake manager, professional engineer, marine scientist or limnologist), that identifies significant internal waterbody loading and justification for the use of the BMP;
• Provide a plan for long term operation and maintenance of the BMP if applicable (Hypolimnetic Aeration and Withdrawal);
Applicants must secure appropriate permits prior to commencing any work.

Grant/Match Fund Split
Grant funds are available for up to 75 percent of the total project costs. Applicants must provide match funds of at least 25 percent of the requested grant amount.

Eligible Costs
Eligible grant and match costs include personal services (e.g. salary, fringe) and non-personal services (e.g. contractual services, travel, equipment) incurred by the awardee to implement the project. The following categories of costs are considered eligible:

- Land acquisition costs: value of the land or development rights being acquired
- Transactional costs: e.g. property surveys, appraisals, baseline documentation reports, filing fees or other closing costs
- Riparian buffer or wetland creation or restoration costs including:
  - Streambank stabilization and site preparation costs for surface water protection projects
  - Planning and design (cannot exceed 20% of the award amount)

Costs must be incurred within the start and end date of the contract to be eligible. The start date of the contract can be no earlier than May 1, 2017.

Ineligible Costs
The following costs are NOT eligible for match or grant reimbursement:

- Projects with planning and design costs in excess of 20% of the award amount
- Wetland mitigation projects
- Disturbances that compromise ecological functions of wetlands
- Projects with streambank stabilization costs in excess of 25% of the award amount
- Projects that do not include land acquisition as part of the grant
- Construction oversight
- Indirect costs (e.g. space/property rent, utilities, and other office supplies)
- Costs incurred outside the start and end date of the contract

Match Funds
Only activities considered eligible for WQIP funding are eligible to be used as match funds. Match funds considered eligible for WQIP funding must be incurred within the start and end date of the contract. Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must identify the source of the matching funds.

Contact
New York State Department of Environmental Conservation
Division of Water, Jacqueline Lendrum, (518) 402-8086
Salt Storage

**Eligible Applicants**
- Municipalities
- Soil and water conservation districts

**Eligible Projects**
Projects to construct a structure to cover a salt storage pile. Projects should be designed to locate sheds as far from public water systems and private water supplies as possible.

**Priorities**
Highest priority will be given to projects that relocate a salt storage pile to a location greater than 2,000 feet from the public water system and/or greater than 500 feet from a private well. Secondary priority will be given to projects that are for a new structure but do not include relocation of the salt storage pile. Projects must adhere to the OGS salt storage specs ([https://ogs.ny.gov/bu/dc/DesignProceduresManual.asp](https://ogs.ny.gov/bu/dc/DesignProceduresManual.asp); Section 9.7 or [http://www.dec.ny.gov/docs/water_pdf/ogsspecs.pdf](http://www.dec.ny.gov/docs/water_pdf/ogsspecs.pdf)) to be eligible for this grant. Only costs related to the construction of the storage shed will be eligible for reimbursement. Projects that include any costs that are not for construction of the shed itself (e.g. office space, additional maintenance facilities, etc.) will be deemed ineligible. Maximum grant amount available per project is $750,000.

**Scoring**
For the Salt Storage category, the scoring for Vision is comprised of the Performance Measures score multiplied by the Impact Factor. See below for more details. A scoring rubric can be found in the “Evaluation Process for All Project Types” section toward the end of this document.

**Performance Measures**
The Department will assess the Salt Storage applications projects based on the following:
- Highest priority will be given to projects:
  - That relocate a salt storage pile to a location greater than 2,000’ from the public water system and/or greater than 500’ from a private well

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5 For the purposes of Salt Storage projects under this grant opportunity, “Municipality” means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof.
• Secondary priority will be given to projects that build a structure where none currently exists:
  ▪ Within primary aquifers (for more information on primary aquifers, please visit the Department’s website at http://www.dec.ny.gov/lands/36119.html)
  ▪ The existing salt storage pile is within 2000’ of a public water system
  ▪ The existing salt storage pile is within 500’ of private water wells
  ▪ Within Queens, Nassau, or Suffolk counties as this area is a sole source aquifer
• Tertiary priority will be given to projects that build a structure where none currently exists:
  ▪ The existing salt storage pile is within 4,000’ of a public water system
  ▪ The existing salt storage pile is within 1,000’ of private water wells
• Quaternary priority will be given to projects that build a replacement structure:
  ▪ The existing salt storage pile is within 2000’ of a public water system
  ▪ The existing salt storage pile is within 500’ of private water wells
• Lowest priority will be given to projects that build a replacement structure:
  ▪ The existing salt storage pile is within 4000’ of a public water system
  ▪ The existing salt storage pile is within 1000’ of private water wells

Impact Factor Definitions:
4 points: will be given to projects located within Primary Aquifers, projects where the existing salt storage pile is within 2,000 feet of public water system, projects where the existing salt storage pile is within 500 feet of private water wells, or projects within Queens, Nassau, or Suffolk Counties.

3 points: will be given to projects where the existing salt storage pile is located within 4,000 feet of public drinking water supplies or projects where the existing salt storage pile is within 1,000 feet of private water wells.

2 points: will be given to uncovered salt piles that do not fall within the first two impact factor criteria.

1 point: will be given to projects where an existing salt storage structure is being replaced by a new structure.

Land Owner Agreements
The applicant must own the property, or obtain an applicable access agreement, for the proposed project site.
  • If the property owner is a municipality – A resolution by the municipality supporting the project.
If the property is not owned by the applicant – a formal written agreement between the applicant and landowner which allows the applicant access to the property, and represent the landowner, to accomplish the proposed project.

**Grant/Match Fund Split**

Grant funds are available for up to 75 percent of the total project costs. Applicants must provide match funds of at least 25 percent of the requested grant amount.

**Eligible Costs**

Eligible grant and match costs include personal services (e.g. salary, fringe); and non-personal services (e.g. contractual services, travel, equipment operating expenses, etc.) incurred by the awardee to implement the project. The following categories of costs are considered eligible:

- Construction
- Construction inspection
- Planning and Design (cannot exceed 20% of award amount)
- Land purchases

Costs must be incurred within the start and end date of the contract to be eligible. The start date of the contract can be no earlier than May 1, 2017.

**Ineligible Costs**

The following costs are NOT eligible for match or grant reimbursement:

- Projects with planning and design costs in excess of 20% of the award amount
- Construction oversight
- Indirect costs (e.g. space/property rent, utilities, and other office supplies)
- Administrative costs
- Legal fees
- Costs incurred outside the start and end date of the contract
- Costs associated with grant application and/or its administration and securing applicable approvals, permits, easements, etc.

**Match Funds**

Only activities considered eligible for WQIP funding are eligible to be used as match funds. Match funds considered eligible for WQIP funding must be incurred within the start and end date of the contract. Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must identify the source of the matching funds.

**Contact**

New York State Department of Environmental Conservation
Division of Water, Don Tuxill, (518) 402-8168

**Aquatic Habitat Restoration**
Eligible Applicants
- Municipalities
- Soil and water conservation districts
- Not-for-profit corporations

Eligible Project Types
Aquatic Habitat Restoration (as defined in Environmental Conservation Law §56-0101) projects must meet the following criteria to be eligible for WQIP funding:

1. Connectivity Projects located in New York State:
   Eligible applications must focus on work that improves aquatic habitat connectivity at road/stream crossings or dams, with the primary intent to improve the natural movement of organisms. Projects should correct limitations to aquatic connectivity and must focus on culverts, bridges or dams that are causing these barriers. There is a maximum grant amount for this category of $250,000. Sample projects, include, but are not limited to, the following:
   - Upgrade and replacement of road stream crossing structures (culverts and bridges) to a larger size and appropriate design to increase ecological connectivity and hydrologic capacity. Guidance for such projects is found at: [http://www.dec.ny.gov/permits/49066.html](http://www.dec.ny.gov/permits/49066.html)
   - Removal or breach of stream barriers such as dams or weirs that limit aquatic connectivity. Removals must meet natural resource management goals of an area

   Eligible applications must improve the ecological condition of the waters of the state including ponds, bogs, wetlands, bays, sounds, streams, rivers, or lakes and shorelines with the intent to support a spawning, nursery, wintering, migratory, nesting, breeding, or foraging environment for fish and wildlife and other biota. There is no maximum grant amount for this category, however typically grants range from $200,000 - $500,000.

Sample projects, include, but are not limited to, the following:

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6 For the purposes of Aquatic Habitat Restoration projects under this grant opportunity, “Municipality” means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city town or village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York State, or any combination thereof. In the case of aquatic habitat restoration projects, the term municipality shall include the state.

7 Environmental Conservation Law, Article 56-0101 (16), “Not-for-profit corporation” means a corporation formed pursuant to the not-for-profit corporation law and qualified for tax-exempt status under the federal internal revenue code.

8 New York/New Jersey Harbor & Estuary Program boundaries within New York State can be found at: [http://www.harboрестaurу.org/geography.htm](http://www.harboрестaurу.org/geography.htm)
- Restoration or management of tidal or freshwater wetlands
- Creation or restoration of submerged aquatic vegetation
- Restoration or enhancement of shellfish and shellfish beds
- Removal of tidal restrictions (i.e., berms, culverts) to reconnect formerly functioning wetlands
- Fish passage

Applicants will be required to submit a feasibility study for the project with their application. Please see the WQIP Required Marine District AHR Documentation Guidance attached here as WQIP RFA Appendix B.

**Scoring**
A scoring rubric can be found in the “Evaluation Process for All Project Types” section toward the end of this document.

**Land Owner Agreements**
The applicant must own the property, or obtain an applicable access agreement, for the proposed project site.
- If the property owner is a municipality – A resolution by the municipality supporting the project.
- If the property is not owned by the applicant – a formal written agreement between the applicant and landowner which allows the applicant access to the property, and represent the landowner, to accomplish the proposed project.
- If the applicant is a not-for-profit proposing a project on municipal property - a signed Municipal Endorsement. A municipal endorsement provides authorization for the not-for-profit to conduct the proposed project on municipal property.

**Grant/Match Fund Split**
Grant funds are available for up to 75 percent of the project costs. Applicants must provide the remaining match funds of at least 25 percent of the requested grant amount.

**Eligible Costs**
Eligible grant and match costs include salary, fringe, contractual costs, travel and equipment incurred by the awardee in the following categories:

- Planning and design (cannot exceed 20% of award amount)
- Construction inspection
- Maintenance
- Reconstruction
- Revitalization
- Rejuvenation activities

Costs must be incurred within the start and end date of the contract to be eligible. The start date of the contract can be no earlier than May 1, 2017.
Ineligible Costs
The following costs are NOT eligible for match or grant reimbursement:
- Projects with planning and design costs in excess of 20% of the award amount
- Monitoring costs in excess of 20% of grant amount
- Construction oversight
- Indirect costs (e.g. space/property rent, utilities, and other office supplies)
- Administrative costs
- Legal fees
- Costs incurred outside the start and end date of the contract

Match Funds
Only activities considered eligible for WQIP funding are eligible to be used as match funds. Match funds considered eligible for WQIP funding must be incurred within the start and end date of the contract. Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must identify the source of the matching funds.

Contacts
Statewide Connectivity Projects:
NYS Department of Environmental Conservation
Division of Fish and Wildlife, Josh Thiel, (518) 402-8978

Marine District Projects:
NYS Department of Environmental Conservation
Division of Marine Resources, Dawn McReynolds, (631) 444-0452

Municipal Separate Storm Sewer Systems (MS4s)

Eligible Applicants
- Regulated Traditional MS4s
- Municipalities

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9 40 CFR 122.26(b)(16)(i). Small municipal separate storm sewer system means all separate storm sewers that are owned or operated by the United States, a State, city, town, borough, county parish, district, association, or other public body (created by or pursuant to State law) having jurisdiction over disposal of sewage, industrial wastes, storm water, or other wastes, including special districts under State law such as a sewer district, flood control district or drainage district, or similar entity, or an Indian tribe or an authorized Indian tribal organization, or a designated and approved management agency under section 208 of the CWA that are discharges to waters of the United States.

10 For the purposes of Municipal Separate Storm Sewer Systems projects under this grant opportunity, “Municipality” means a local public authority or public benefit corporation, a county, city, town, village, school district, supervisory district, district corporation, improvement district within a county, city town or
Soil and water conservation districts

Funding will be considered for proposals submitted on behalf of multiple regulated MS4s. **Only the lead applicant needs to register in the NYS Grants Gateway** ([http://grantsreform.ny.gov](http://grantsreform.ny.gov)).

To be eligible to receive funding, applicants must participate in an area-wide municipal cooperative stormwater group (e.g., coalition), if one exists. If one does not currently exist, the applicant needs to document the steps that are being taken to develop such a group. In these cases, the group has to be in place prior to receiving a grant award. In the rare case where a coalition does not exist nor will be established in the project area, the applicant must justify the reasons in the application.

Applicants requesting funds must provide a list of cooperating MS4s. If funded, the lead applicant must get a signed commitment from each participating MS4 by the date of the contract execution. The agreement must state that the partner municipality will deliver its share of the outputs specified in the contract workplan. Failure to obtain the signed agreements could result in the grant award being rescinded.

**Eligible Projects**

There is no maximum grant amount for this category however typically grants range from $20,000 to $400,000. Eligible activities include (*proposed projects must meet the minimum MS4 permit requirements*):

1. Development of Retrofit plans for existing unmanaged and/or inadequately managed stormwater runoff to MS4s discharging to impaired watersheds with approved TMDLs (MS4 General Permit Part IX). Eligible projects are those that will deliver an inventory and ranking of all MS4-owned properties and infrastructure with retrofit potential. Plans should be developed using the “*Center for Watershed Protection Urban Stormwater Retrofit Practices Guidance*.”
   - Identification of potential retrofit locations at publicly owned properties, street right of way, culverts/outfalls and existing detention practices;
   - Identification of potential retrofit treatment options and constraints;
   - Development of an inventory of potential retrofit projects with conceptual design;
   - Evaluation and ranking of potential retrofits; and
   - Identification of the most cost effective approaches.

2. Comprehensive system mapping/program mapping
   - Mapping requirements (see the following table):

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*Village, or Indian nation or tribe recognized by the state or the United States with a reservation wholly or partly within the boundaries of New York state, or any combination thereof. In the case of aquatic habitat restoration projects, the term municipality shall include the state.*
### REQUIRED Items for Comprehensive System Mapping/Program Mapping

<table>
<thead>
<tr>
<th>Basic Comprehensive Map (only newly designated MS4s)</th>
<th>Required Elements Map (Maps must include these elements to be considered for funding)</th>
<th>Additional Elements Map (Elements beyond the minimum required elements)</th>
</tr>
</thead>
</table>

#### Waterbody Mapping
- All Waterbodies within the MS4 jurisdiction [X]
- Impaired Segments [X]

#### Outfall Mapping
- Electronic GIS Map [X]
- Receiving Waterbody Name [X]
- Type of Conveyance [X]
- Outfall material [X]
- Outfall shape [X]
- Type of outfall [X]
- Submerged in water? [X]
- Submerged in sediment? [X]
- Inspection data [X]
- Location of interconnected MS4 outfalls [X]

#### Sewershed Boundary
- Preliminary [X]
- Impaired waters [X]
- Per MS4 outfall [X]
- Land Use within Impaired Watersheds (Commercial, HD Residential, LD Residential, Industrial, Open Space) [X]
- Land Use within Other sewersheds (Commercial, HD Residential, LD Residential, Industrial, Open Space) [X]

#### Priority Areas
- Areas with Onsite wastewater systems subject to Part IX requirements [X]
- Description of Concern (Sewershed to impaired waters, septic systems, high water table, industrial area, etc.) [X]
- Pollutant(s) of Concern (Litter, Sediment, Nutrients, etc.) [X]
- Areas of high discharge potential (Refer to Table 14 of IDDE Guidance Manual for identification) [X]
- Areas of Shallow Groundwater [X]
## Areas of Low Infiltrative Soils

Areas where stormwater flows have significant potential to cause erosion (soil, silt, rock, etc.)

Areas of historic on-site sanitary system failures

Sites with a history of major oil or chemical leaks/spills (Include date of event, type of spill, and final resolution)

High priority construction sites (Discharges to impaired waters, AA-S, AA, or A classified water sources, or T (trout)/TS (trout spawning) protected bodies)

Other areas of Concern (wetlands, riparian buffers, flood plains, steep slopes, etc.)

Areas with Onsite wastewater systems (Typical age?)

## Stormwater Management Practice (SMP) Mapping (minimum data must include)

### Stormwater Management Practice (SMP) Mapping (minimum data must include)

<table>
<thead>
<tr>
<th>Location</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of SMP (Pond, Bioretention, Swale, Rain Garden, etc.)</td>
<td>X</td>
</tr>
<tr>
<td>Post construction specific SMPs</td>
<td>X</td>
</tr>
<tr>
<td>Reason for SMP (Retrofit, New Development, Flood Control, etc.)</td>
<td>X</td>
</tr>
<tr>
<td>Ownership of SMP</td>
<td>X</td>
</tr>
<tr>
<td>Location where SMP discharges (Does SMP drain to MS4?)</td>
<td>X</td>
</tr>
<tr>
<td>Contributing Drainage area to SMP (if known) Construction date (if known)</td>
<td>X</td>
</tr>
<tr>
<td>Last Inspection date (if known)</td>
<td>X</td>
</tr>
</tbody>
</table>

## Proposed Retrofits

<table>
<thead>
<tr>
<th>Location</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contributing drainage area to the proposed stormwater retrofit</td>
<td>X</td>
</tr>
</tbody>
</table>

## Municipality owned/operated facilities

<table>
<thead>
<tr>
<th>Location</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type (Municipal Buildings, DPW Garage, vehicle and fleet maintenance areas (fire station, police station, bus stations), landfills, salt storage areas, parks &amp; open space, solid waste disposal areas, transfer stations, marinas, etc.)</td>
<td>X</td>
</tr>
<tr>
<td>Contact</td>
<td>X</td>
</tr>
</tbody>
</table>
Purchase of equipment already owned and available through the cooperative stormwater group and development of materials already available through the group are not eligible for funding.

**Scoring**
A scoring rubric can be found in the “Evaluation Process for All Project Types” section toward the end of this document.

**Grant/Match Fund Split**
Grant and match funds are available for up to 75 percent of the project costs. Applicants must provide the remaining match funds of at least 25 percent of the requested grant amount.

**Eligible Costs**
Eligible grant and match costs include salary, fringe, contractual costs, travel and equipment costs, and construction inspection fees incurred by MS4s to develop and implement a stormwater management program (SWMP) that complies with GP-0-15-003. Costs must be incurred within the start and end date of the contract to be eligible. The start date of the contract can be no earlier than May 1, 2017.

**Ineligible Costs**
The following costs are NOT eligible for match or grant reimbursement:
- Indirect costs (e.g. space/property rent, utilities, and other office supplies)
- Administrative costs
- Legal fees
- Costs incurred outside the start and end date of the contract

**Match Funds**

---

<table>
<thead>
<tr>
<th>Last Assessment Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Storm Sewer System Mapping (for areas not subject to Part IX)</td>
</tr>
<tr>
<td>Type of Conveyance System (closed pipe or open drainage)</td>
</tr>
<tr>
<td>*Closed Pipe (Pipe material; Shape; Size)</td>
</tr>
<tr>
<td>*Open Drainage (Channel/Ditch lining material; Shape; Dimensions; Locations and dimensions of any culvert crossings)</td>
</tr>
<tr>
<td>Drop Inlet, catch basin and manhole locations</td>
</tr>
<tr>
<td>Number and size of connections to catch basins and manholes</td>
</tr>
<tr>
<td>Direction of Flow</td>
</tr>
</tbody>
</table>

X
Only activities considered eligible for WQIP funding are eligible to be used as match funds. Match funds considered eligible for WQIP funding must be incurred within the start and end date of the contract. Match funds consist of cash contributions and in-kind services put forth by the applicant to complete the awarded project. State or federal grant dollars cannot be used for the match funds. When applying for this grant, the applicant must identify the source of the matching funds.

Contact
New York State Department of Environmental Conservation
Division of Water, Ethan Sullivan, (518) 402-1382

EVALUATION PROCESS FOR ALL PROJECT TYPES

Scoring and Selection
All applications are first reviewed for eligibility and then scored by a review team in accordance with the evaluation and scoring criteria contained in this RFA. Applicants are strongly encouraged to read and address the scoring standards in the process of developing an application. Knowledge of the scoring criteria is valuable for designing and proposing a relevant and quality project.

Method of Award Criteria Details
Funding will be distributed to the highest scoring projects in each WQIP category until the available funding is exhausted or the amounts listed in the RFA have been met. High priority projects will be awarded funding based on score. Any remaining funding will be awarded to the highest scoring secondary priority projects.

Eligibility Criteria:
To be eligible for consideration applicants must meet the following criteria:

1. Eligible Applicant
   a. Municipality
   b. Municipal Corporation
   c. Regulated traditional Municipal Separate Storm Sewer Systems (MS4s)
   d. Soil and Water Conservation District
   e. Not-for-Profit Corporation (Only land acquisition for source water protection projects OR aquatic habitat restoration projects)
2. Eligible Project Type
   a. Wastewater Treatment Improvement
   b. Non-agricultural Nonpoint Source Abatement and Control
   c. Land Acquisition Projects for Source Water Protection
   d. Salt Storage
   e. Aquatic Habitat Restoration
   f. Municipal Separate Storm Sewer Systems (MS4s)
3. Registration in the NYS Grants Gateway
a. Municipalities, Municipal Corporations and Soil and Water Conservation Districts must be registered in the NYS Grants Gateway by the time of project award.
b. Not-for-Profit Corporations must be registered and pre-qualified in the NYS Grants Gateway by the application due date.

Selection Criteria
Projects will be scored and selected based on the following criteria.
<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wastewater effluent disinfection projects for facilities that currently do not disinfect their effluent who have been notified by the Department that their treatment system requires an upgrade to add effluent disinfection <strong>OR</strong> CSO projects that are under a Long Term Control Plan <strong>OR</strong></td>
<td>Projects that are located in the HUC 12 watershed of waterbodies listed on PWL as “precluded” or “impaired” <strong>OR</strong> Projects that are located in the HUC 12 watershed of waterbodies classified as a Class A or Class AA waterbody with an active public water system and drinking water use is listed on PWL as “stressed” or “threatened” <strong>OR</strong></td>
<td>Projects that are located in the HUC 12 watershed of waterbodies classified as Class A or Class AA without an active public water system <strong>OR</strong></td>
</tr>
<tr>
<td>SSO projects that are for an SSO included in a capacity, management, operation and maintenance (CMOM) program, a sanitary sewer evaluation survey plan, identified as a Type 1 outfall in a SPDES permit, or listed in a consent order <strong>OR</strong> TMDL Implementation projects that are listed in a TMDL Implementation Plan, nine element</td>
<td><strong>Project necessary to preserve or protect a surface waterbody not listed on the PWL.</strong></td>
<td></td>
</tr>
<tr>
<td>Reasonableness of Cost</td>
<td>Points: 40</td>
<td>Points: 30</td>
</tr>
<tr>
<td>------------------------</td>
<td>------------</td>
<td>------------</td>
</tr>
<tr>
<td>Exceptional value for the cost as it applies to both achieving the project objectives and being a fiscally sound project.</td>
<td>Cost is good as it applies to both achieving the project objectives and being a fiscally sound project.</td>
<td>Cost is reasonable as it applies to both achieving the project objectives and being a fiscally sound project.</td>
</tr>
<tr>
<td>Also to be considered for Wastewater Treatment projects is if the applicant is a Climate Smart Community, and has taken Action 3.31, 3.32, 7.1 or 7.10 and information from one or more of the Actions is referenced in the application.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Classification Points Factor</th>
<th>Points: 20</th>
<th>Points: 10</th>
<th>Points: 5</th>
<th>Points: 0</th>
</tr>
</thead>
<tbody>
<tr>
<td>AA, SA, GA (primary water supply aquifer), AA special</td>
<td>A, A special, GA (other), GSA</td>
<td>B, SB, C(T), C(TS)</td>
<td>C, SC, I</td>
<td>D, SD, GSB</td>
</tr>
<tr>
<td><strong>Points: 8</strong></td>
<td><strong>Points: 6</strong></td>
<td><strong>Points: 4</strong></td>
<td><strong>Points: 2</strong></td>
<td><strong>Points: 0</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Watershed plan, or SPDES permit <strong>OR</strong> Communities with Inadequate On-Site Septic Systems that are either listed in the PWL as a source of impairment, have a completed sanitary survey conducted by the Department of Health, or are listed in the Suffolk County Subwatersheds Wastewater Plan. <strong>Points: 40</strong></th>
<th><strong>Points: 30</strong></th>
<th><strong>Points: 20</strong></th>
<th><strong>Points: 10</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Points: 40</strong></td>
<td><strong>Points: 30</strong></td>
<td><strong>Points: 20</strong></td>
<td><strong>Points: 10</strong></td>
</tr>
</tbody>
</table>
| **Project Readiness** | Project has all necessary permits (or does not need permits) and approvals. The project is ready to move forward with construction.  
*Points: 5* | Project is not ready to proceed with construction but has some of the necessary approvals and is expected to lead to construction without delay.  
*Points: 3* | Project has not secured any of the necessary approvals and is not ready to proceed to construction.  
*Applications that fall into this category will not be funded.*  
*Points: 0* |

| **Experience and Ability** | Applicant has shown the ability to complete all WQIP projects.  
*Points: 5* | Applicant has shown the ability to complete most WQIP contracts.  
OR  
Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project.  
*Points: 3* | Applicant has demonstrated poor management of WQIP contract(s).  
OR  
Applicant has not previously been awarded a WQIP grant and does not appear to have the experience and ability to carry out the project.  
*Applications that fall into this category will not be funded.*  
*Points: 0* |

| **Regional Economic Development Priority** | 20 points for this criterion are provided by the Regional Economic Development Councils. | | |

| **Total Maximum Points** | 100 points | | |
## Nonpoint Source Abatement Scoring Rubric

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
</table>
| Project is specifically listed as a priority in:  
  - TMDL Implementation Plan,  
  - Watershed Action Agenda,  
  - SPDES Permit  
  - SPDES Permit Modification  
  - Nine Element Watershed Plan  
  - Long Term Control Plan  
  - Source Water Assessment Plan or  
  - Beach restoration report funded through Ocean and Great Lakes EPF pilot beach closure mitigation project | Project is for a type of project that is the main focus of:  
  - TMDL Implementation Plan,  
  - Watershed Action Agenda,  
  - SPDES Permit  
  - SPDES Permit Modification  
  - Nine Element Watershed Plan  
  - Long Term Control Plan  
  - Source Water Assessment Plan or  
  - Beach restoration plan funded independently | Project addresses a documented water quality impairment not listed on the PWL. OR For Great Lakes Nature-Based Shoreline projects: Project addressing a water quality impairment not listed on the PWL that has been reported and substantiated by a credible agency. OR For beach restoration projects: project is based on a completed sanitary survey |

Projects that reduce a nonpoint source pollutant located in the HUC 12 watershed of waterbodies listed on PWL as “precluded” or “impaired” OR Projects that reduce a nonpoint source pollutant located in the HUC 12 watershed of waterbodies listed on PWL as “stressed” or “threatened” OR Projects necessary to preserve or protect a surface waterbody not listed on the PWL.
<table>
<thead>
<tr>
<th>Impact Factor</th>
<th>Vision</th>
<th>Reasonableness of Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>See individual NPS Priorities for definition</td>
<td>Vision will be calculated by multiplying Performance Measures times Impact Factor. Performance Measures points and Impact Factor points will not be included in the total score, only the combined Vision points.</td>
<td>Exceptional value for the cost as it applies to both achieving the project objectives and being a fiscally sound project.</td>
</tr>
<tr>
<td>Points: 4</td>
<td>Points: 2</td>
<td>Points: 20</td>
</tr>
<tr>
<td>Points: 5</td>
<td>See individual NPS Priorities for definition</td>
<td>Cost is good as it applies to both achieving the project objectives and being a fiscally sound project.</td>
</tr>
<tr>
<td>Points: 3</td>
<td>See individual NPS Priorities for definition</td>
<td>Cost is reasonable as it applies to both achieving the project objectives and being a fiscally sound project.</td>
</tr>
<tr>
<td>Points: 1</td>
<td>See individual NPS Priorities for definition</td>
<td>Cost not reasonable for this type of project.</td>
</tr>
</tbody>
</table>

Projects that reduce a nonpoint source pollutant located in the HUC 12 watershed of waterbodies classified as a Class A or Class AA waterbody with an active public water system and drinking water use is listed on PWL as “stressed” or “threatened” OR

Pollutant of Concern (POC) identified in MS4 Permit

Points: 10
<table>
<thead>
<tr>
<th>Classification Points Factor</th>
<th>AA, SA, GA (primary water supply aquifer), AA special</th>
<th>A, A special, GA (other), GSA</th>
<th>B, SB, C(T), C(TS)</th>
<th>C, SC, I</th>
<th>D, SD, GSB</th>
<th>No resource is impaired</th>
</tr>
</thead>
<tbody>
<tr>
<td>Points: 10</td>
<td>Points: 8</td>
<td>Points: 6</td>
<td>Points: 4</td>
<td>Points: 2</td>
<td>Points: 0</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Project Readiness Project is not ready to proceed with construction but has some of the necessary approvals and is expected to lead to construction without delay. Points: 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project has all necessary permits (or does not need permits) and approvals. The project is ready to move forward with construction. Points: 5</td>
</tr>
<tr>
<td>Project has not secured any of the necessary approvals and is not ready to proceed to construction. <em>Applications that fall into this category will not be funded.</em> Points: 0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Experience and Ability Applicant has shown the ability to complete all WQIP projects. Points: 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant has shown the ability to complete most WQIP contracts. OR Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project. Points: 3</td>
</tr>
<tr>
<td>Applicant has demonstrated poor management of WQIP contract(s). OR Applicant has not previously been awarded a WQIP grant and does not appear to have the experience and ability to carry out the project. <em>Applications that fall into this category will not be funded.</em> Points: 0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Regional Economic Development Priority 20 points for this criterion are provided by the Regional Economic Development Councils.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Total Maximum Points 100 points</th>
</tr>
</thead>
</table>
# Land Acquisition Projects for Source Water Protection Scoring Rubric

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Programs that protect land and/or create or restore riparian buffers or wetlands directly adjacent to a surface waterbody permitted as an active surface drinking water supply source or Programs that protect land within the “inner well zone” identified in a SWAP report for a permitted groundwater drinking water source or within 1,000 feet if no SWAP has been developed or Parcels are specifically identified or located in watersheds prioritized in the New York State Open Space Plan for drinking water protection. or Projects that target disinfection by-product precursors in surface waterbodies serving as a public water supply.</td>
<td>Points: 30</td>
<td>Programs that protect land and/or create or restore riparian buffers or wetlands adjacent to tributaries within the watershed but beyond 2,000 feet of a waterbody permitted as an active drinking water supply source or Programs that protect land located outside of the “outer well zone” but within the capture zone of a permitted groundwater drinking water source or greater than 2,000 feet if no SWAP has been developed.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Reasonableness of Cost</th>
<th>Budget clearly reflects and details above-average value</th>
<th>Budget clearly reflects and details average value for</th>
<th>Budget clearly reflects and details below-average value</th>
<th>Budget does not clearly reflect or</th>
</tr>
</thead>
</table>

<p>| Points: 20 | Points: 20 |</p>
<table>
<thead>
<tr>
<th>Susceptibility Rating</th>
<th>Program Readiness</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Points: 20</strong></td>
<td>Parcels have been identified; landowner endorsement is demonstrated by a letter of commitment. Applicants have provided detailed protocols for stewardship, monitoring and enforcement in their application.</td>
</tr>
<tr>
<td>SWAP report identifies susceptibility rating of “Very High” or “High” for one or more contaminant categories</td>
<td>SWAP report identifies susceptibility rating of “Medium-High” or “Medium” for one or more contaminant categories OR No SWAP report has been developed</td>
</tr>
<tr>
<td><strong>Points: 10</strong></td>
<td>Parcels have been identified but landowner endorsement has not been obtained yet. Applicants have provided detailed protocols for stewardship, monitoring and enforcement in their application.</td>
</tr>
<tr>
<td>SWAP report identifies susceptibility rating of “Medium-High” or “Medium” for one or more contaminant categories</td>
<td>Parcels have not been identified and landowner endorsement has not been obtained OR applicants have provided detailed protocols for stewardship, monitoring, and enforcement in their application.</td>
</tr>
<tr>
<td><strong>Points: 5</strong></td>
<td>Parcels have not been identified; landowner endorsement has not been obtained yet and applicants have not provided detailed protocols for stewardship, monitoring and enforcement in their application.</td>
</tr>
<tr>
<td><strong>Points: 0</strong></td>
<td></td>
</tr>
<tr>
<td>Experience and Ability</td>
<td>Points: 5</td>
</tr>
<tr>
<td>------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>Applicant possesses the knowledge, skills and ability to complete the program, and has prior experience with DEC grants, and completed all tasks in a timely manner</td>
<td>Points: 5</td>
</tr>
<tr>
<td>Regional Economic Development Priority</td>
<td>20 points for this criterion are provided by the Regional Economic Development Councils.</td>
</tr>
<tr>
<td>Total Maximum Points</td>
<td>100 points</td>
</tr>
</tbody>
</table>
# Salt Storage Scoring Rubric

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relocating a salt storage pile to a location greater than 2,000' from the public water system and/or greater than 500' from a private well</td>
<td>New structure within:  - Primary aquifer  - 2000' of public water system  - 500' of private well  - Queens, Nassau or Suffolk counties</td>
<td>Replacement structure within:  - 2000' of public water system  - 500' of private well</td>
</tr>
<tr>
<td>Points: 10</td>
<td>Points: 5</td>
<td>Points: 3</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Impact Factor</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>See Salt Storage section for definition</td>
<td>See Salt Storage section for definition</td>
<td>See Salt Storage section for definition</td>
</tr>
<tr>
<td>Points: 7</td>
<td>Points: 3</td>
<td>Points: 2</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Vision</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vision will be calculated by multiplying Performance Measures times Impact Factor. Performance Measures points and Impact Factor points will not be included in the total score, only the combined Vision points.</td>
<td>See Salt Storage section for definition</td>
<td>See Salt Storage section for definition</td>
</tr>
<tr>
<td>Points: 4</td>
<td>Points: 3</td>
<td>Points: 2</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Reasonableness of Cost</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceptional value for the cost as it applies to both achieving the project objectives and being a fiscally sound project.</td>
<td>Cost is good as it applies to both achieving the project objectives and being a fiscally sound project.</td>
<td>Cost is reasonable as it applies to both achieving the project objectives and being a fiscally sound project.</td>
</tr>
<tr>
<td>Points: 20</td>
<td>Points: 10</td>
<td>Points: 5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Classification Points Factor</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>AA, SA, GA (primary water supply)</td>
<td>A, A special, GA (other), GSA</td>
<td>B, SB, C(T), C(TS)</td>
</tr>
<tr>
<td>C, SC, I</td>
<td>D, SD, GSB</td>
<td>No resource is impaired</td>
</tr>
<tr>
<td><strong>aquifer), AA special</strong></td>
<td>Points: 10</td>
<td>Points: 6</td>
</tr>
<tr>
<td>---------------------------</td>
<td>------------</td>
<td>------------</td>
</tr>
<tr>
<td><strong>Project Readiness</strong></td>
<td>Project has all necessary permits (or does not need permits) and approvals. The project is ready to move forward with construction. <strong>Points: 5</strong></td>
<td>Project is not ready to proceed with construction but has some of the necessary approvals and is expected to lead to construction without delay. <strong>Points: 3</strong></td>
</tr>
<tr>
<td><strong>Experience and Ability</strong></td>
<td>Applicant has shown the ability to complete all WQIP projects. <strong>Points: 5</strong></td>
<td>Applicant has shown the ability to complete most WQIP contracts. <strong>OR</strong> Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project. <strong>Points: 3</strong></td>
</tr>
<tr>
<td><strong>Regional Economic Development Priority</strong></td>
<td>20 points for this criterion are provided by the Regional Economic Development Councils.</td>
<td></td>
</tr>
<tr>
<td><strong>Total Maximum Points</strong></td>
<td>100 points</td>
<td></td>
</tr>
</tbody>
</table>
## Aquatic Habitat Restoration (AHR) Projects Scoring Rubric

<table>
<thead>
<tr>
<th>Performance Measures (Statewide Projects)(^\text{11})</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
</table>
| **Species Miles**: 5 or more \(^\text{12}\)  
**Barrierity**: Significant or greater | **Species Miles**: 3 or more  
**Barrierity**: Significant or greater | **Species Miles**: 0.1 or more  
**Barrierity**: Minor or greater |
| **Points**: 40 | **Points**: 30 | **Points**: 10 |

| Performance Measures (New York/New Jersey Harbor Estuary CCMP\(^\text{14}\), Nassau and Suffolk Counties) | Excellent: Addresses three or more habitat restoration priorities or critical habitats identified in a Federal or state management plan. OR Project provides benefit to three or more SGCN or Federal trust species. **Points**: 40 | Good: Addresses two habitat restoration priorities or critical habitats identified in a Federal or State management plan. OR Project provides benefit to two or more State SGCN or Federal trust species. **Points**: 30 | Fair: Addresses one habitat restoration priorities or critical habitats identified in a Federal or State management plan. OR Project provides benefit to one or more State SGCNs or Federal trust species. **Points**: 20 | Poor: Addresses any goal identified in a Federal or state management plan. OR Project provides direct benefit to any species of management concern to the Department. **Points**: 10 | Lowest: Addresses only one goal identified in a Federal or State management plan. **Points**: 5 |

| Reasonableness of Cost | Exceptional value for the cost as it applies to both achieving the project | Cost is good as it applies to both achieving the project objectives and being a | Cost is reasonable as it applies to both achieving the project | Cost is not reasonable for this type of project. |

---

\(^{11}\) Projects that do not achieve 5 or more points within Performance Measures will not be funded.

\(^{12}\) Species Miles: See explanation at the end of this matrix.

\(^{13}\) Barrierity: See explanation at the end of this matrix.

\(^{14}\) New York/New Jersey Harbor & Estuary Program boundaries within New York State can be found at: [http://www.harborestuary.org/geography.htm](http://www.harborestuary.org/geography.htm)
<table>
<thead>
<tr>
<th>Vision</th>
<th>Proposed project will improve a waterbodies impairment level as it pertains to the goals of the Aquatic Habitat Restoration category or such impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL) by two levels or will eliminate the impairment.</th>
<th>Proposed project will improve a waterbodies impairment level as it pertains to the goals of the Aquatic Habitat Restoration category or such impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL) by one level.</th>
<th>Proposed project will have no reduction to the impairment level as it pertains to the goals of the Aquatic Habitat Restoration category or such impairments as listed on the Waterbodies Inventory/Priority Waterbodies List (WI/PWL).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Readiness</td>
<td>Project has all necessary permits (or does not need permits) and approvals. The project is ready to move forward with construction.</td>
<td>Project is not ready to proceed with construction but has some of the necessary approvals and is expected to lead to construction without delay.</td>
<td>Project has not secured any of the necessary approvals and is not ready to proceed to construction. <strong>Applications that fall into this category will not be funded.</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Objectives and being a fiscally sound project.</th>
<th>Fiscally sound project.</th>
<th>Objectives and being a fiscally sound project.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Points: 20</td>
<td>Points: 10</td>
<td>Points: 5</td>
</tr>
</tbody>
</table>

**Vision**

**Project Readiness**
Experience and Ability

<table>
<thead>
<tr>
<th>Points: 5</th>
<th>Points: 3</th>
<th>Points: 0</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant has shown the ability to complete all WQIP projects.</td>
<td>Applicant has shown the ability to complete most WQIP contracts. OR Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project.</td>
<td>Applicant has demonstrated poor management of WQIP contract(s). OR Applicant has not previously been awarded a WQIP grant and does not appear to have the experience and ability to carry out the project. Applications that fall into this category will not be funded.</td>
</tr>
</tbody>
</table>

Regional Economic Development Priority

20 points for this criterion are provided by the Regional Economic Development Councils.

Total Maximum Points

100 points

Species Miles
Describes the functional gain achieved by removing a barrier to aquatic organism passage. The total number of SGCN (http://www.dec.ny.gov/animals/9406.html) or other aquatic species of management concern to the Department is multiplied by the total number of stream miles which will be made accessible to these species. Stream miles is calculated by totaling the linear distance of each stream segment, including tributaries, from the existing barrier traveling upstream until the next impassable barrier. (Species x Stream Miles = Species Miles)

Barrierity

Describes the severity to which a structure creates a barrier to aquatic organism passage. It is derived from a protocol for calculating this value as part of the North Atlantic Aquatic Connectivity Project (NAACC) found at http://www.streamcontinuity.org/. When this methodology is not possible, professional judgement will be used to assess a structure that most closely replicates the categories used by SCP.

<table>
<thead>
<tr>
<th>Severe</th>
<th>Less than 0.19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Significant</td>
<td>0.20 – 0.39</td>
</tr>
<tr>
<td>Moderate</td>
<td>0.40 – 0.59</td>
</tr>
<tr>
<td>Minor</td>
<td>0.60 – 0.79</td>
</tr>
<tr>
<td>Insignificant</td>
<td>0.80 – 0.1</td>
</tr>
</tbody>
</table>
# Municipal Separate Storm Sewer System (MS4) Projects Scoring Rubric

<table>
<thead>
<tr>
<th>Performance Measures</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project addresses comprehensive mapping and stormwater retrofit planning. <em>Points: 30</em></td>
<td>Project addresses comprehensive mapping OR Project addresses stormwater retrofit planning <em>Points: 15</em></td>
<td>Retrofit planning for areas outside TMDL WIS areas. <em>Points: 5</em></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Reasonableness of Cost</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceptional value for the cost as it applies to both achieving the project objectives and being a fiscally sound project. <em>Points: 20</em></td>
<td>Cost is good as it applies to both achieving the project objectives and being a fiscally sound project. <em>Points: 10</em></td>
<td>Cost is not reasonable for this type of project. <em>Points: 0</em></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Vision</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project greatly exceeds permit requirements (mapping including many above and beyond elements or innovative retrofit planning that includes desktop analysis, field reconnaissance, site inventory, site evaluation and ranking, subwatershed analysis). <em>Points: 20</em></td>
<td>Project exceeds permit requirements (mapping including some above and beyond elements retrofit planning that includes desktop analysis, field reconnaissance). <em>Points: 10</em></td>
<td>Project only partially meets or does not meet permit requirements. <em>Points: 1</em></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Project Readiness</th>
<th>Maximum Points</th>
<th>Minimum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project has all necessary pieces in place to complete retrofit planning and/or mapping. <em>Points: 5</em></td>
<td>Project has some of the necessary pieces in place to complete retrofit planning and/or mapping. <em>Points: 3</em></td>
<td>Project has not secured any of the necessary approvals and is not ready to proceed with project implementation. <em>Applications that fall into this category will not be funded.</em> <em>Points: 0</em></td>
</tr>
</tbody>
</table>
### Experience and Ability

<table>
<thead>
<tr>
<th></th>
<th>Points: 5</th>
<th>Points: 3</th>
<th>Points: 0</th>
</tr>
</thead>
<tbody>
<tr>
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<td>Applicant has shown the ability to complete most WQIP contracts. OR Applicant has not previously been awarded a WQIP grant but appears to have the experience and ability to carry out the project.</td>
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<td></td>
</tr>
</tbody>
</table>

### Regional Economic Development Priority

20 points for this criterion are provided by the Regional Economic Development Councils.

### Total Maximum Points

100 points
The Department of Environmental Conservation reserves the right to:

- Award additional and available funding for scored and ranked projects consistent with this grant opportunity.
- Award an agreement for any or all parts of the RFA in accordance with the method of award, or withdrawal of the RFA at any time at the Department's sole discretion.
- Award only one application for funding in the event there are multiple application submissions for a single project or for pieces of a single project.
- Award to the next highest scoring application in the event a grantee fails to negotiate a grant contract with the Department within 90-120 days of a grant award.
- Consider regional distribution in the determination of awards, to the extent practicable.
- Monitor the progress of all grant awards and withdraw grant funding if the grantee fails to make significant and timely progress on the project, or fails to receive the necessary permissions and permits for the project.
- The Department reserves the right not to fund projects that are determined not to be consistent with NYS's Smart Growth Public Infrastructure Policy Act.

Smart Growth Infrastructure Policy Act
New York State's Smart Growth Public Infrastructure Policy Act (ACT), Environmental Conservation Law Article 6, requires the Department and all State infrastructure agencies to assess whether each public infrastructure project that receives state funding is consistent with the State Smart Growth Public Infrastructure criteria specified in the Act, or that compliance is considered to be impracticable, before making any commitment to fund such project(s).

Insurance Requirements
Applicants will be required to carry appropriate insurance upon execution of a MCG and as specified in the MGC Attachment A-1 Program Specific Terms and Conditions, and agree that each project consultant, project contractor and project subcontractor secures and delivers to the contractor appropriate policies of insurance issued by an insurance company licensed to do business in the State of New York. Please refer to Program Terms and Conditions for additional insurance information.

Signage Requirements
The Department may require the installation of a project sign (2' x 4') which identifies the EPF as a source of funding as outlined in the requirements and specifications attached to and made part of this contract as Attachment E.

For projects with multiple funding sources the Contractor acknowledges that a portion of this grant is funded by the Department as a Water Quality Improvement Project. The Contractor agrees to identify the Department as a source of funding for this project in any
communications to the public.

**Permit Requirements (if applicable)**

Contractors agree to obtain all required permits, including but not limited to, local, state and federal permits prior to the commencement of any project related work. The Contractor agrees that all work performed in relation to the project by the Contractor or its agents, representatives, or contractors will comply with all relevant federal, state and local laws, rules, regulations and standards, zoning and building codes, ordinances, operating certificates for facilities, or licenses for an activity.

**State Environmental Quality Review (SEQR) Documentation**

With respect to the project, the Contractor certifies that it has complied, and shall continue to comply with all requirements of the State Environmental Quality Review Act (SEQRA). The Contractor agrees to provide all environmental documents as may be required by the Department. The Contractor has notified, and shall continue to notify, the Department of all actions proposed for complying with the environmental review requirements imposed by SEQRA.

**Vendor Responsibility Questionnaire**

Not-For-Profit contractors and/or subcontractors are subject to a vendor responsibility review by the State to ensure public dollars are being spent appropriately with responsible contractors. A vendor responsibility review may include a contractor and/or subcontractor to present evidence of its continuing legal authority to do business in NYS, integrity, experience, ability, prior performance, and organizational and financial capacity. To enroll in and use the NYS VendRep System go to the VendRep System at [https://portal.osc.state.ny.us](https://portal.osc.state.ny.us)

**Iran Divestment Act**

As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. By entering into a Contract, the Contractor certifies that it is not on the “Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012” list (“Prohibited Entities List”) posted on the OGS website at: http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf and further certifies that it will not utilize on such Contract any subcontractor that is identified on the Prohibited Entities List. Additional detail on the Iran Divestment Act can be found in the MCG, Attachment A-1 Program Specific Terms and Conditions.

**Minority/Women Business Enterprises (M/WBE) And Equal Employment Opportunities (EEO) Requirements**

The Department is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 (“MWBE Regulations”) for all State contracts with a value (1) in excess of $25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of $100,000 for real property renovations and construction.

- Applicants subject to executing a future NYS Master Contract for Grants agree, in addition to any other nondiscrimination provision of the MCG and at
no additional cost to the Department, to fully comply and cooperate with the Department in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women (“EEO”) and contracting opportunities for certified minority and women-owned business enterprises (“MWBEs”). Contractor’s demonstration of “good faith efforts” pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the “Human Rights Law”) or other applicable federal, state or local laws.

- Failure to comply with M/WBE and EEO requirements may result in a Department finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages or enforcement proceedings.

- Please refer to the NYS Master Contract for Grants - Article IV.(J) and Attachment A-1 Program Specific Terms and Conditions - Article X, to review M/WBE and EEO requirements. Required M/WBE and EEO related forms can be found at http://www.dec.ny.gov/about/48854.html

- The local government is responsible for designating someone to serve as their Affirmative Action representative. The governing body should make this designation through official means.

- A list of certified M/WBE enterprises can be obtained via the internet from the NYS Department of Economic Development at https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&X ID=9885

- Contracts which meet the established M/WBE-EEO thresholds require the Contractor to submit Quarterly Reports, http://www.dec.ny.gov/docs/administration_pdf/quarterly.pdf, detailing payments made by the Prime Contractor to NYS Certified M/WBEs.

- The following M/WBE-EEO “Fair Share” goals are established as follows:

  Minority and Women Owned Business Enterprise (MWBE) Overall Participation Goals:
  Construction/Engineering – 30%
  Commodities – 30%
  Services/Technologies – 30%

  Equal Employment Opportunity (EEO) Participation Goals
  EEO Minority Workforce Participation Goals (DEC Regions 1-9) 10%
  EEO Female Workforce Participation Goals (DEC Regions 1-9) 10%

- DEC M/WBE Contact Person
Procurement of Contractors/Subcontractors
Municipalities must comply with General Municipal Law Sections 103 (competitive bidding) and 104-b (procurement policies and procedures). Not-for-profit corporations must follow procurement policies that ensure prudent and economical use of public money. Failure to comply with these requirements could jeopardize full reimbursement of your approved eligible project costs.

Satisfactory Progress
Grant recipients are expected to show satisfactory progress with the development of a project workplan and implementation of the project. Satisfactory progress includes, but is not limited to, timely submission of all necessary documents needed for contract execution, such as, required proofs of insurance, and an M/WBE Utilization Plan. A grantee must also submit timely quarterly payment requests, quarterly narrative reports, quarterly expenditure reports, and a final project summary report. Successful applicants are expected to manage their WQIP projects in accordance with the terms and condition of the State of New York Master Grant Contract. Failure to make satisfactory progress or to complete the project to the satisfaction of the State may be deemed an abandonment of the project and may cause the termination of any financial obligation of the State.

Operation and Maintenance of Completed WQIP Projects
Grant recipients are fully responsible for ensuring the proper and efficient monitoring operation and maintenance of the project satisfactory to the Department, including, but not limited to, retaining a sufficient number of qualified staff and ensuring performance or required tests and requirements. After completion of the project, the grantee shall, for a period of thirty years (the useful life of the project as provided in State Finance Law § 61[18]), operate the project or otherwise cause the project to be operated properly and in a sound and economical manner and shall maintain, preserve and keep the project, or cause the project to be maintained, preserved and kept, in good repair, working order and condition and shall make, or cause to be made, all necessary and proper repairs, replacements and renewals from time to time, so that at all times the project may be operated properly in a manner consistent with the performance standards for the project, with the contract and with the requirements of any related permit or other governmental approval of the project.

Proposed Project Timeline and Contract Terms
The Department prefers contract terms of 2 -3 years in length. However, in rare cases, the Department will consider time extensions beyond 3 years with written justification from the Grantee, describing the need for an extension and a timeline that supports project implementation. Contract amendments may not exceed a maximum term of 5 years. Applicants should not submit an application if they do not anticipate their project can be completed within the specific time frame.

Project-related costs must be incurred between the start and end dates of the contract to be considered eligible for reimbursement and towards meeting project type match requirements. The start date of the contract can be no earlier than May 1, 2017.

**Application Limits**
Applicants may submit up to 1 application per project. Applicants are limited to 5 applications per round.

**ADDITIONAL APPLICATION SUBMISSION INFORMATION**

**Pre-Application Requirements**
All governmental entities (municipalities, municipal corporations, and soil and water conservation districts, and as further defined in this RFA), and NFP corporations must register in the NYS Grants Gateway to be considered eligible for this grant opportunity http://grantsreform.ny.gov

In addition to registering, NFP organizations must also complete the Vendor Prequalification process in the NYS Grants Gateway to be considered eligible to apply for this grant opportunity. Government entities are currently not required to complete the Vendor Prequalification Process.

**NYS Grants Gateway Registration Instructions:**
If your organization has not already registered in the Grants Gateway, the registration is NOT an online process. Register now to allow time for processing!!

1.) On the Grants Reform Website at www.grantsreform.ny.gov/Grantees, download a copy of the Registration Form for Administrator.

2.) Complete the form according to the instructions provided. The completed form must be signed and notarized.

3.) Mail the signed and notarized original form to the Division of Budget at the address provided in the instructions.

4.) After the form is received and reviewed, you will be provided with a Username and Password allowing you to access the Grants Gateway.

5.) Log in to the Grants Gateway at https://grantsgateway.ny.gov. You will be prompted to change your password at the bottom of your Profile page. Enter a new password and click the SAVE button located on the top, right-hand side of the page.
If you have previously registered and do not know your Username please email grantsreform@budget.ny.gov. If you do not know your Password, please click the Forgot Password link from the main log in page and follow the prompts.

**Not-For-Profit Prequalification Instructions:**

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant application and contract processes. These initiatives require not-for-profit organizations to complete the Vendor Prequalification process to be considered eligible to apply for a grant.

Below is a summary of the steps to complete the prequalification requirements. The Vendor Prequalification Manual on the Grants Reform website at www.grantsreform.ny.gov/Grantees provides additional information and instruction.

1.) Complete your Prequalification Application.

   - Log in to the Grants Gateway at https://grantsgateway.ny.gov. If this is your first time logging in, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click the SAVE button located on the top, right-hand side of the page.

   - Click the Organization(s) link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.

   - Answer the questions in the *Required Forms* and upload the *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.

   - Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at grantsreform@budget.ny.gov.

2.) Submit Your Prequalification Application

   - After completing your Prequalification Application, click the *Submit Document Vault* button located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted, the status of the Document Vault will change to *In Review*.

   - If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.

   - Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

Additional registration and prequalification information, including a video tutorial, is available on the Grants Reform website at www.grantsreform.ny.gov/

**CONTRACTING INFORMATION**

**State of New York Master Contract for Grants (MCG)**
Applicants selected to receive a grant award will be required to execute a MCG in the NYS Grants Gateway within 90 - 120 days from the time of their award notification. Department staff are available to assist successful applicants through the contracting process. Failure to submit timely required MCG documents could cause a grantee to lose their grant award. Applicants should review and be prepared to comply with all MCG terms and conditions should grant funding be awarded. The MCG and attachments can be reviewed and/or downloaded at:
http://www.dec.ny.gov/pubs/44916.html
The MCG and attachments include:

- MCG Grants Face Page
- Standard Terms and Conditions (NYS standard terms and conditions)
- Attachment A-1 Program Specific Terms and Conditions (Agency and Program specific terms and conditions)
- Attachment B-1 Expenditure Based Budget (project expense categories and detail)
- Attachment C Work Plan (project objectives, tasks and performance measures)
- Attachment D Payment and Reporting Schedule (claims for reimbursement and grant reporting provisions)

**Grant opportunity payment and reporting conditions**

- For all WQIP project types except wastewater treatment, upon approval of the MCG by the Office of the State Comptroller, an advance payment of up to twenty-five percent (25%) of the total Contract Amount may be provided under this Contract to the Contractor, including Contractors that are municipalities, for project start-up funding. Contractors must provide justification of the need for the advance payment.

- No reimbursement payments under the MCG will be made by the Department to the Contractor unless the Contractor provides supporting cost documentation to support how the 25% advance funding was spent on the Project. Future reimbursement payments shall be made upon audit and approval by the Department and the Comptroller's Office of vouchers executed by an authorized officer of the Contractor.

- Project costs eligible for reimbursement and project match must be incurred between the MCG term start date and the MCG term end date. Costs incurred prior to the MCG term start date or after the MCG term end date will not be considered eligible for grant reimbursement or match. Copies of supporting cost documentation (paid invoices, receipts, cancelled checks, etc.) must be audited and approved by the Department for costs to be eligible for grant reimbursement.

- Quarterly MCG payment reimbursement requests will be accepted prior to submission of a final closeout reimbursement request. Approved project design,
required permits and landowner permissions must be in place to submit a reimbursement request.

- Quarterly Narrative Reports must be submitted in narrative form, no later than 30 days from the end of the quarter. The reports will summarize how the project progressed towards meeting project objectives and deliverables during the quarter.

- Quarterly Expenditure Reports, detailed by object of expense as defined in the MCG Attachment B-1 Expenditure Based Budget, must accompany the quarterly Narrative Reports, no later than 30 days from the end of the quarter. These reports must correlate to subsequent vouchers submitted for payment.

- Final Report must be submitted and approved by the Department prior to the release of the final contract payment to the Grantee. The Contractor must submit the Final Report no later than 60 days after the end of the contract period. The Final Report should report on all aspects of the program and detail how the grant funds were utilized in achieving the goals set forth in the approved MCG Attachment C Work Plan. Copies of appropriate documents (i.e. inventory and/or management plan) must be submitted and approved by the Department.

- A Department on-site inspection may be required to confirm all work was completed in accordance to the approved project work plan.
1. Feasibility Study

Applicants are required to submit sufficient information to demonstrate that the proposed green infrastructure project is feasible to construct at their project location. The Feasibility Study is a written document which must be submitted along with an online application. Based on a design professional’s site evaluation, the Feasibility Study provides the basis and justification for your proposed design.

The Feasibility Study must be signed and stamped by a Qualified Professional licensed or certified to practice in New York State. A qualified professional is an individual who is knowledgeable in the principles and practices of stormwater management and treatment, such as a Professional Engineer or Registered Landscape Architect.

Required Elements

NOTE: The Feasibility Study must primarily address the green infrastructure practice(s), even if it is a portion of a larger project.

The recommended outline below contains the required elements which must be included when preparing your Feasibility Study.

I. Cover Page (project title, owner, prepared by, professional's stamp, and date)
II. Executive Summary (Overview of the project’s purpose)
III. Project Objective(s) *(Describe goals for Green Infrastructure elements. Indicate whether the green infrastructure elements are a portion of a larger project.)*

NOTE: Only the green practices constructed that exceed the requirements of the SPDES General Permit for Stormwater Discharges from Construction Activity are eligible for WQIP funding.

IV. Existing Conditions: Include an analysis of the proposed project site which addresses the following elements:

a. Current Land Use
b. Depth to Bedrock
c. USGS Soil Classification at green infrastructure practice location(s) (see USDA Web Soil Survey mapping tool)
d. Depth to water table at green infrastructure practice location(s)
e. Discussion of any other site considerations (*wetlands, flood plain*)
elevations, hotspots, brownfield remediation or other potential design issues at the site)
f. Results of any boring logs, infiltration tests, or other subsurface investigations. If your project is selected, these will be required as part of the design process.

NOTE: If site conditions are not conducive to implementing green infrastructure practices, you should consider alternative funding sources that can support these other activities.

V. Project Description

a. **Recommended Green Infrastructure Practice(s):** Provide a narrative that explains the proposed project and green infrastructure practices and why they were selected. Please see the New York State Stormwater Management Design Manual for a catalog of green infrastructure practices.

b. Provide an estimate of the water quality volume to be managed through infiltration, evapotranspiration, and/or use on site. The [NYSDEC Runoff Reduction Worksheets](#) may be used as a reference in calculating estimates.

VI. Anticipated Regulatory Approval and Permits (list all that will apply -- e.g., NYSDEC, NYSDOT, etc.)

2. Existing Conditions Graphic

A plan or diagram of the existing project site is required. It should include:

a. Engineer / Landscape Architect name; date and project title
b. North arrow / legend
c. Graphical scale
d. Site features (wetlands, streets, buildings, etc.)
e. Location map
f. Site topography
g. Project location / address (including nearest cross street)
h. Stormwater flowpath (also consider adjacent sites)
i. Nearest receiving waterbody
j. Location relative to the 100-year floodplain
k. Other site considerations (hotspots, brownfield remediation or other potential design issues at the site)
l. Location of any available boring logs, infiltration tests, or other subsurface investigations.

3. Conceptual Site Plan

A plan or diagram of the project’s conceptual design is required. It must include:

a. Engineer / Landscape Architect name; date and project title
b. North arrow / legend
c. Graphical scale (1 " = 10’, 20’, 30’, 40’, 50’, 60’ or 100’)
d. Location map
e. Site features (wetlands, nearest waterbody, streets, buildings, etc.)
f. Proposed GI practice location / layout showing stormwater flowpath (arrows)
g. Estimated drainage area (indicate area(s) to be managed by each practice)
h. Site grading (proposed conditions)
i. Other design considerations

4. Site Photographs
Please submit photographs that are representative of existing site conditions.
RFA Appendix B

**WQIP Required Marine District AHR Documentation Guidance**

1. Feasibility Study

Applicants are required to submit sufficient information to demonstrate that the proposed aquatic habitat restoration (AHR) project is feasible to construct at their project location. The Feasibility Study is a written document which must be submitted along with an online application. Based on a habitat restoration professional’s site evaluation, the Feasibility Study provides the basis and justification for your proposed design.

A qualified professional is an individual who is knowledgeable in the principles and practices of aquatic habitat restoration, such as a Wetland Specialist, Professional Engineer, with at least 3 years’ experience in aquatic habitat restoration. Applicants are required to submit a CV of experience along with documentation of at least five successful aquatic habitat restoration projects of the type applied for.

**Required Elements**

**NOTE:** The Feasibility Study must primarily address the AHR practice(s), even if it is a portion of a larger project.

The recommended outline below contains the required elements which must be included when preparing your Feasibility Study.

I. **Cover Page** *(project title, owner, prepared by, and date)*
II. **Executive Summary** *(Overview of the project’s purpose)*
III. **Project Objective(s)** *(Describe goals for AHR elements. Indicate whether the AHR elements are a portion of a larger project.)*

IV. **Existing Conditions:** Include an analysis of the proposed project site which addresses the following elements:

   a. Current Land Use
   b. Characterization of existing habitat, fish and wildlife at and adjacent to the site, types and condition of those habitats and wildlife to be affected by subject proposal (ex. wetlands, riparian areas, upland habitats, fish resources and species of concern).
   c. Appropriate soil or sediment classification, if applicable to success of your project, *(borings or subsurface investigations)* See Soil Survey mapping tool
   d. Discussion of any other site considerations (hydrology, use conflicts, public health implications, *flood plain elevations*,

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brownfield remediation, utilities or other potential design issues at the site)

**NOTE:** If site conditions are not conducive to implementing habitat restoration you should consider alternative funding sources that can support these other activities.

**Project Description**

- **Recommended AHR Practice(s):** Provide a narrative that explains the proposed project and AHR practices, why they were selected and projected benefits to aquatic habitats.

**V. Anticipated Regulatory Approval and Permits** (*list all that will apply -- e.g., NYSDEC, DOS, USACE, etc.*)

**2. Existing Conditions Graphic**

A plan or diagram of the existing project site is required. It should include:

- a. Restoration Professional name; date and project title
- b. North arrow / legend
- c. Graphical scale
- d. Site features (wetlands, streets, buildings, etc.)
- e. Location map
- f. Site topography
- g. Project location / address (including nearest cross street)
- h. Nearest receiving waterbody
- i. Location relative to wetlands or other significant habitats and wildlife of concern.
- j. Other site considerations (hydrology, use conflicts, public health implications, *flood plain elevations, brownfield remediation, utilities or other potential design issues at the site*)
- k. Appropriate soil or sediment classification, if applicable to success of your project, *(borings or subsurface investigations)*, See *Soil Survey mapping tool*.

**3. Conceptual Site Plan**

A plan or diagram of the project's conceptual design is required. It must include:

- a. Restoration professional name; date and project title
- b. North arrow / legend
- c. Graphical scale (*1” = 10’, 20’, 30’, 40’, 50’, 60’ or 100’*)
d. Location map

e. Site features (wetlands, nearest waterbody, streets, buildings, etc.)

g. Proposed AHR practice location in relation to existing site conditions.

h. Site grading (proposed conditions) or alterations to existing elevations.

h. Other site considerations (hydrology, use conflicts, public health implications, flood plain elevations, brownfield remediation, utilities or other potential design issues at the site)

4. Site Photographs
Please submit photographs that are representative of existing site conditions.